King County
Executive Branch IT
Reorganization Project

Recommended Organization Structure and Plan for Capacity-Building and Transition

March 2008

Executive Summary

King County Executive Branch IT
Recommended Organization Structure and
Plan for Capacity-Building and Transition

Goals & Desired Results

In 2006, the King County Executive made a set of recommendations for changes to the organization of Information Technology in King County, which were codified by the Council. These changes brought together under the Chief Information Officer all IT governance, planning, technology infrastructure, telecommunications, radio, and IT services in the Executive Branch Departments. These oversight and service delivery functions were combined in what is now called the Office of Information Resource Management (OIRM).

The Executive also established a Vision and Goals for the IT organization, and a multi-phased change process was set in motion, which included the design and execution of a set of technology change initiatives, and the development and implementation of an organizational change and transition process.

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Executive and Council Vision

Utilizing information and technology to share a better tomorrow by enabling effective public services and streamlining county operations.

Executive and Council Goals

❖ Deliver responsive service to internal customers, the public, and other jurisdictions

❖ Provide reliable, cost-effective technical and application architectures

❖ Create countywide efficiencies for business functions and infrastructure that are common across the organization

❖ Support a culture of effective governance, clear accountability and communication

❖ Ensure IT security and privacy

❖ Facilitate information-sharing – internally and externally

❖ Recruit, deploy and retain an appropriately-skilled workforce

❖ Serve as a leader in IT regional initiatives

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Approach

Strategic Learning Resources, Inc. was retained in August 2007 to assist IT leadership with the development and implementation of the organizational change and transition. The goals of the Executive and Council were adopted as the desired results and framework for this effort.

The organizational change and transition project is being completed in two steps:

Step 1. A comprehensive assessment of the Executive Branch IT system, culminating in this Recommended Organization Structure and Plan for Capacity-Building and Transition.

Step 2. Development of transition plans for the Office of Information Resource Management (OIRM) and each of the seven Executive Branch Departments, followed by monitoring of transition progress.

The Recommended Organization Structure and Plan for Capacity-Building and Transition completes Step 1.

Assessment & Findings

SLR undertook an extensive organizational assessment through 70 one-on-one interviews and focus groups with a range of stakeholders from both labor and management in OIRM and all Executive Branch Departments, a review of prior studies and plans, and research on best organizational practices in the IT industry. The assessment focused on three core questions:

1. *How ready is Executive Branch IT to achieve Executive and Council goals?*

2. *What is the optimal structure for Executive Branch IT?*

3. *What capacity does OIRM need to support the Executive and Council goals?*

The findings from this organizational assessment drove the recommendations for the organizational structure, capacity building plan, and the framework for transition planning. These key findings and their implications are summarized below.

Findings	*Implications*
The vision for success held by the Executive, OIRM leadership, management and staff, and Executive Branch Department leadership is largely shared. Similarly, there is a shared definition of what represents excellent customer service.	Organizational change is more successful when it is pulled by a common vision. The common vision of success and the shared definition of customer service offer, therefore, a strong platform for going forward.
There are substantive obstacles to a successful reorganization, which include: • the complexity and diversity of organizational structures, business needs, and funding structures within the Executive Branch • OIRM's current culture, structure, systems, and processes do not support consistent quality customer service • a lack of confidence across the Executive Branch in OIRM's capacity to manage large scale change efforts • concerns at the departmental level about	In response, explicit principles were set to guide the development of a new organizational structure: • clear and consistent reporting relationships and accountability for IT across the Executive Branch • support the development, retention, and effective use of IT management and staff • standardize or centralize functions that do not vary across departments to reduce cost and increase consistency of service

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Findings	Implications
loss of resources, autonomy, flexibility, and existing service levels.	• facilitate increased customer service • be flexible and adapt to changing and diverse business requirement. Specific criteria describe how the principles should be met. A range of other core strategies to create a high-performing organization were suggested by the findings, such as (but not limited to): • enhance the linkage between business development and IT development • develop processes for gathering information from stakeholders and use that information to guide decisions and build shared accountability • increase the clarity and accessibility of IT services.
To implement successful organizational change, the IT organization must build capacity in terms of skills, culture, and processes in seven core areas: • moving past the history of the OIRM and ITS merger • partnering effectively with Executive Branch Departments • delivering significantly enhanced customer service • communicating effectively with internal and external stakeholders • learning through involvement and engagement of stakeholders • leading and managing in an environment of continuous change • leading and managing for organizational effectiveness.	A simple re-structuring of the organization will not achieve the Executive's goals. Attention must also be paid to the human dimensions of transition, including: processes and systems, skills, and mindsets. It should be expected that care and patience will be needed throughout the transition process.

CHANGES TO STRUCTURE

The recommended changes to the organizational structure encompass a number of critical elements, based on the findings of the organizational assessment. It is recognized that just as staff were critical stakeholders in the assessment and contributed to the vision which is the foundation for the recommended changes, Labor will be a critical partner in the transition planning for the changes described below.

1. *A change in nomenclature to differentiate the new structure from the old:*

   Office of King County Information Technology (KCIT)
   > To describe the IT organization which fulfills all the roles described in the ordinance.

   Enterprise IT
   > To describe the services provided by KCIT from central locations to all County departments or agencies and services that support KCIT itself.

   Decentralized IT
   > To describe the services provided by KCIT locally at an agency or departmental level. In the context of this reorganization, these are IT services provided in the seven Executive Branch Departments.

2. *A clear path of accountability for IT across the Executive Branch.*

   All IT staff in departments will report to an IT Service Delivery Manager, who has a reporting relationship to the CIO and who maintains a consultative relationship with the Department Director.

3. *Alignment of the organizational structure of Decentralized IT with that of Enterprise IT.*

   A model for a Decentralized IT structure is offered, which will assure a consistent organization of IT across the Executive Branch and will support clearer communication and working relationships across KCIT.

4. *Guidelines for centralizing and standardizing IT functions across the Executive Branch.*

   These guidelines differentiate the functions to be provided centrally (as an enterprise service or in support of KCIT itself); functions that are to be standardized but delivered locally; and functions that are to be provided locally and are unique to Departments.

5. *Re-structuring of the current OIRM as KCIT to clarify accountability, improve management and supervision, and increase support and customer service to decentralized services in the Executive Branch Departments.*

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Specific changes of note are :

- the addition of a Deputy CIO with a portfolio of decentralized services and governance
- the development of a centralized procurement, contracting, and asset management function
- the addition of budget coordination and support for IT in Executive Branch Departments
- the expansion of Human Resources activities in the areas of recruitment and training and development
- clearer differentiation and management support of enterprise services
- clearer accountability for the Project Management Office
- the addition of a communications position, which will serve both as a public information officer and to aid in KCIT communications within King County.

6. *Development of matrix working relationships across IT functions and departments to create a flexible, efficient, and effective organization.*

ORGANIZATIONAL CAPACITY BUILDING

The Executive Branch IT reorganization is intended to transform the way business is conducted and how IT services are designed and delivered. It holds the promise of reducing costs, improving the quality of services, and creating new opportunities for innovation, leadership, employee development, service, and partnership. Notwithstanding this promise, similar endeavors in both the public and private sectors involving IT system change and reorganizations fail more often than not. Countless studies have shown that the failure rate of such major organizational change projects in IT are largely attributable to human, not technical, factors. Real change happens when people at all levels of the organization think and behave in significantly different ways. Changing the structure alone, without changing the mindsets and beliefs, building new skills and abilities, and enhancing processes and systems, will not produce the Executive's desired results.

The Plan sets forth a capacity-building plan for the leaders, managers, supervisors, and employees across KCIT. The plan incorporates the best practices in adult learning, emphasizing active and iterative learning experiences and lays out a training and development sequence to be delivered over a multi-year period. It addresses each of the seven core capacities identified in the assessment with an emphasis on ensuring that leaders and managers have the mindsets and skills needed to:

- lead the structure and culture change initiatives
- communicate effectively with internal and external stakeholders
- partner effectively across the KCIT system
- manage for organizational effectiveness
- manage in a customer service-driven culture.

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The execution of the capacity-building plan will also begin to build an experience of shared identity for IT staff across King County.

The capacity-building plan also calls for the establishment of 'Rapid Response Teams,' which will draw on IT staff across the Executive Branch to identify and address needed process improvements, such as the PRB process, recruitment of IT staff, and service desk procedures. These process improvements will begin to align the practices of the organization with the desired culture.

TRANSITION PLAN FRAMEWORK

Transition planning is an essential element of the successful reorganization of IT functions across the Executive Branch. While "change" is the desired end state, "transition" is how you get there. The transition planning process will manage the details of moving from the current state to the reorganized state in order to achieve the goals of the Executive.

The Transition Plan Framework identifies critical success factors that will significantly improve the likelihood of a successful reorganization. The broad headers of these factors are:

Before the transition begins:	*During transition implementation:*
• Leaders are fully on board. • History is behind us. • Plans are in place.	• Leaders, managers, and supervisors act with the end in mind. • Understanding of the impacts deepens and widens. • Change is visible and tangible.

Transition plans will be developed for IT in each of the Executive Branch Departments, as well as for the centralized services in KCIT. An overall KCIT transition plan will include the workplan for capacity-building, systems and process changes, communication plan, and the monitoring of progress. The elements of each plan will address changes in positions, reporting relationships, and labor issues. The transition plans will be developed with the ongoing help of department transition teams involving IT leadership, management, and staff.

BENEFITS REALIZATION PLAN FRAMEWORK

A loud and consistent refrain during the organizational assessment was the desire to be able to measure the impact of the changes and monitor the progress of the reorganization. To that end, a Benefits Realization Plan Framework was developed as a tool for linking strategies and initiatives directly to the desired results (benefits). The Benefits Realization Plan will also establish progress measures for each desired result. It will serve as an evaluation tool that provides feedback while changes are being made, and supports modification of strategies based on what is learned. Fundamentally, the evaluation should encourage learning and rapid change.

Refinement of the Benefits Realization Plan - including confirmation of the strategies and initiatives and the establishment of appropriate measures - will occur concurrently with the development of the transition plans.

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One of the challenges of describing an organization in transition is that the names of things are also in transition. Different names are used, therefore, in different sections of this report, and some may appear to mean the same or similar things. To aid in clarity and to provide an easy reference, a brief glossary is provided here.

The current and old nomenclature for information technology organizations in King County are:

Executive Branch IT

> The IT organization that provides both enterprise and decentralized IT services to all Executive Branch Departments. This describes the focus of this phase of reorganization, which does not include separately-electeds.

Information Technology Services (ITS)

> The only references to ITS in this document describe the county-wide IT organization, which was merged with OIRM in 2005. Most typically, this is referred to as "old ITS." ITS is also currently in use in some departments as the name of their local IT services group.

Office of Information Resource Management (OIRM)

> The pre-transition name of the organization that provides enterprise IT services. Used by participants in the comprehensive assessment to name the centrally located organization providing enterprise IT services and governance. "OIRM" was also the name of the organization, which was merged with ITS in 2005. When we refer to this organization, we call it "old OIRM."

For the purposes of this plan, we propose the following nomenclature:

King County Information Technology (KCIT)

> The IT organization of the future, which fulfills all the roles described in the ordinance. This includes both Enterprise and Decentralized IT services.

Enterprise IT

> Reorganization term for the KCIT services that will be provided from central locations to all County departments or agencies. Enterprise IT also provides services that support KCIT itself.

Decentralized IT

> Services that will be provided by KCIT locally, at an agency or departmental level. In the context of this reorganization, these will be IT services provided in the seven Executive Branch Departments.

PROJECT VISION AND PLAN OVERVIEW

Project vision

The Executive Branch IT Reorganization Project grows out of a 2006 King County Executive Recommendation for changes to the structure, which were codified by the Council in 2006. They brought together, under the Chief Information Officer, all IT governance, planning, technology infrastructure, telecommunications, radio, and IT services in the Executive Branch Departments.[1] The County Executive outlined the highlights and benefits of the reorganization in a presentation to the Strategic Advisory Council in March 2006. The core benefits included:

- "Consolidates Executive Branch IT functions under the CIO.

- Establishes a clear line of authority and accountability for planning, management, and oversight of IT."

In the Recommendation on IT Reorganization, the Executive further articulated a vision and set clear goals for IT reorganization in King County.

Executive and Council Vision

Utilizing information and technology to share a better tomorrow by enabling effective public services and streamlining county operations.

Executive and Council Goals

- ❖ Deliver responsive service to internal customers, the public, and other jurisdictions
- ❖ Provide reliable, cost-effective technical and application architectures
- ❖ Create countywide efficiencies for business functions and infrastructure that are common across the organization
- ❖ Support a culture of effective governance, clear accountability and communication
- ❖ Ensure IT security and privacy
- ❖ Facilitate information-sharing – internally and externally
- ❖ Recruit, deploy and retain an appropriately-skilled workforce
- ❖ Serve as a leader in IT regional initiatives

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[1] The Executive Recommendation was based on consideration of a series of studies, plans, and reports, including: Moss-Adams Strategic Technology Plan (2001-2002); King County Revised Strategic Technology Plan for 2003-2005; PTI Report "Reorganizing IT Functions" (2004); and Moss-Adams Consultation and Analysis of PTI Report (2006).

Scope of reorganization

To accomplish the goals for reorganization, IT Leadership developed an approach, which initially focuses on the reorganization of Executive Branch IT services through a two-pronged approach:

1. Design and execute a set of technology change initiatives, and
2. Develop and implement an approach to organizational change and transition.

This approach may, in the future, be applied to the separately elected agencies. Though the reorganization of separately elected departments will build on the successes and learnings of the Executive Branch reorganization, a distinct set of additional work will need to be done to successfully reorganize in ways that address the unique needs and contexts of these agencies.

Two Steps of Organizational Change and Transition

Strategic Learning Resources, Inc. (SLR) was retained in August 2007 to assist IT leadership with the development and implementation of an approach to the second prong of reorganization: organizational change and transition.

The organizational change and transition project is being completed in two steps:

Step 1.   A comprehensive assessment of the Executive Branch IT system, culminating in this Organizational Structure and Leadership and Management Plan.

Step 2.   Development of transition plans for the Office of Information Resource Management (OIRM) and each of the seven Executive Branch Departments, followed by monitoring of transition progress.

The Recommended Plan completes Step 1 and captures the major findings from the comprehensive assessment, identifies a recommended structure for IT services in the Executive Branch, and articulates a framework for developing the organizational capacities needed to support a successfully reorganized IT organization.

Overview of recommended plan

The following provides a preview of what the reader will find in each chapter of the Plan, starting with the findings and ending with a framework for evaluating the progress and benefit of the plan implementation.

Summary of Findings

Chapter 2 offers a summary of key findings from the comprehensive assessment carried out by SLR from August – November 2007. This chapter integrates and synthesizes the findings of 6 separate assessment efforts, and addresses the readiness to achieve the Executive's goals for reorganization, the optimal

structure for Executive Branch IT, and OIRM capacities needed to support a successful reorganization.

Recommended Executive Branch IT Organizational Structure

Chapter 3 describes the recommended changes in the IT organizational structure from three perspectives: the functional view, the hierarchical view of reporting relationships, and a matrix view of working relationships. It compares the current structure to the recommended structure in the context of principles and criteria developed during the assessment phase of the project.

Organizational Capacity-Building Plan

Chapter 4 outlines a capacity-building plan, which touches Senior Managers, Managers and Supervisors, and Staff throughout KCIT. The plan addresses the mindsets, skills, and processes needed for a successful reorganization. With the objective of moving forward as one organization with a shared identity and common vision for customer service, a "Rapid Response" model of process and system change is also presented in this chapter as a recommended approach to making the process changes needed to support reorganization goals.

Transition Plan Framework

Chapter 5 outlines the critical success factors that should be in place before starting the transition as well as during transition implementation. In addition, it presents a recommended approach to transition implementation and delineates the elements which must be included in the Enterprise IT organization transition plan and the transition plans for the seven Executive Branch departments.

Benefits Realization Framework

Chapter 6 presents a framework for displaying a benefits realization plan, which ties together the desired results, core strategies, initiatives, measures, and targets into a single "dashboard" view.

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SUMMARY OF FINDINGS

The findings presented in this chapter reflect what we learned from the comprehensive assessment of Executive Branch IT conducted from August - December 2007. In this chapter, we summarize the key messages we heard from stakeholders and offer our assessment of the implications of those messages.

Overview of comprehensive assessment

Goal

The goal of the comprehensive assessment was to create a platform of understanding upon which to develop a successful approach to organizational development. The assessment was designed to answer three broad questions:

Question 1: *How ready is Executive Branch IT to achieve Executive and Council goals?*

- How aligned are leaders, managers, and staff with the goals?
- How far from the goals are Executive Branch departments today?
- What are the major barriers to achieving the goals?

Question 2: *What is the optimal structure for Executive Branch IT?*

Question 3: *What capacity does OIRM need to support the Executive and Council goals?*

- What kind of organizational culture will enable OIRM to achieve the goals?
- What structure and processes will position OIRM to meet the goals?
- What needs to be in place for OIRM to successfully lead change in the Executive Branch?

Approach

The comprehensive assessment involved one-on-one interviews and small-group focus groups with a range of stakeholders in OIRM and throughout all Executive Branch Departments.

SLR consultants conducted:

- 42 interviews with OIRM Senior Managers, mid-level Manager/Supervisors, and IT Service Delivery Managers

- 5 focus groups with OIRM staff

- 7 interviews with Department leadership teams

- 14 focus groups with Department Business Line managers, IT managers, and staff.

In addition, SLR consultants facilitated two half-day workshops at which OIRM Senior Management (including IT Service Delivery Managers) and selected OIRM Managers worked to assess OIRM's Service Portfolio.

Overview of key findings

Table 1, on the following page, offers an overview of the key findings from the comprehensive assessment. *This table serves as a guide to the rest of the chapter. Each numbered finding from the table is further discussed in the sections that follow.*

Table 1
Key Findings of Comprehensive Assessment

CORE QUESTION	KEY FINDINGS
1. How ready is Executive Branch IT to achieve the Executive and Council goals?	A. There is significant overlap in the visions of success held by the Executive; OIRM managers and staff; and department leaders, managers, and staff. B. OIRM staff and department staff and managers share a consistent definition of excellent customer service. C. Assessment participants shared common perceptions of the major obstacles to a successful IT re-organization. Major obstacles to accomplishing the desired results for re-organization include: • complexity and diversity of business needs across the Executive Branch departments • diversity of existing IT organizational structures and cultures • complexity of IT funding structures • OIRM's current culture and organizational infrastructure (e.g., structures, systems, processes) do not support consistent, quality customer service. • lack of confidence in OIRM's capacity to manage large scale change efforts • department concerns regarding loss of resources, autonomy, flexibility, and existing service levels. D. Changes to either the duties of the CIO or the structure of OIRM may require concomitant changes in County ordinance. E. Human Relations issues and labor/management structures and relationships will exert pressures and limits on the reorganization process.
2. What is the optimal structure for Executive Branch IT?	A. The existing structure is enormously complex. B. The optimal structure will support systemic balance between competing needs. C. The optimal structure will embody a set of principles, established to guide alignment of structure with desired results.
3. What capacity does OIRM need to support the Executive and Council goals?	A. Development of seven core capacities within KCIT are critical success factors for the reorganization. A successful reorganization will require enhanced capacity to: • partner effectively with Executive Branch departments • deliver significantly enhanced customer service • move past the OIRM/ITS merger history • communicate effectively with internal and external stakeholders • learn effectively through involvement and engagement of internal and external stakeholders • lead and manage in an environment of continuous change and transition • lead and manage for organizational effectiveness
Conclusion:	The findings of the comprehensive assessment can be summarized as a set of drivers, desired results, challenges, and core strategies for reorganization.

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CORE QUESTION 1: HOW READY IS EXECUTIVE BRANCH IT TO ACHIEVE THE EXECUTIVE AND COUNCIL GOALS?

Finding 1A: There is significant overlap in the visions of success held by the Executive; OIRM managers and staff; and department leaders, managers, and staff.

Why is this an Important Finding?

Current research shows that large-scale organizational changes are most successful when they pull people toward a compelling positive vision. A narrower, problem-solving orientation can offer rational justifications for change, but does not motivate or move people to embrace the change at the behavioral level. In other words, when people ask themselves "why should I bother changing?" the answer "because I'm an important part of creating something better" is more compelling than "because I'm fixing something broken."

One important way to gauge the likelihood of success for this reorganization is therefore to assess:

- whether the Executive and Council's goals for reorganization in fact provide the kind of compelling vision needed to sustain a large scale change process
- the degree to which the personal visions held by stakeholders in the organization are aligned with the vision "from the top."

The assessment revealed that members of the Executive Branch IT organization share remarkably similar visions of the key features of success. This is very good news for the reorganization – it means that there are widely shared images of a more positive future which can be used to motivate change as the process moves forward.

What follows is a high-level overview of the collective vision for success as it emerged from the OIRM interviews and focus groups, followed by a summary of the vision described by department leaders, managers, and staff. Those elements in common are in bold text.

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Overlapping Visions of Success

OIRM Vision	Departments' Vision
Role of Central IT	*Role of Central IT*
• **Provide excellent customer service.**	• **Provide excellent customer service.**
• **Deliver cost-effective enterprise services.**	• Partner with customer departments to achieve business objectives.
• **Offer forward-thinking technical leadership.**	• **Deliver cost effective enterprise infrastructure services** and specialized supports.
• **Facilitate access to knowledge-sharing opportunities, training and development, and other supports for IT staff across the Executive Branch.**	• **Offer forward-thinking technical leadership.**
• Oversee IT governance, set IT standards, and promote technology standardization.	• Provide technical and business process consulting services.
• Build a shared sense of identity for IT staff.	• **Enable enhanced professional growth opportunities for all IT staff (career paths, training, and information-sharing).**
	• Work with stakeholders to set common standards and processes; support departments in achieving compliance.
	• Leverage purchasing power.
	• Expand opportunities for inter-agency linkage.
Hallmarks of the Executive Branch IT organization	*Hallmarks of the Executive Branch IT organization*
• **Shared vision and direction.**	• **Shared vision and direction.**
• **Clear, inclusive, two-way communication.**	• **Clear, inclusive, two-way communication.**
• **Helpful, simple systems and processes.**	• **Helpful, simple systems and processes.**
• **A culture of trust and respect.**	• **A culture of trust and respect.**
• **Effective leadership and management.**	• **Effective leadership and management.**
• **Collaboration and teamwork.**	• **Collaboration and partnership.**
	• The reorganization preserves and supports the existing strengths of IT in the departments, including:
	— responsive, relationship-based customer service
	— specialized content knowledge
	— integration of IT and business development
	— sense of ownership and commitment.
The benefits of reorganization are visible and measurable.	*The benefits of reorganization are visible and measurable.*

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Areas of Common Ground

- Clearly, the possibility of improved customer service from Central IT constitutes a compelling vision for stakeholders across the Executive Branch.

- Both OIRM and Department stakeholders agree that enterprise services should be delivered by a central IT organization and in a cost-effective way.

- There is broad agreement on the key features of the desired culture for Executive Branch IT, including quality, collaborative relationships based on trust and mutual respect, and grounded in helpful, simple systems and processes.

- Both OIRM and Departments stressed that reorganization results should be well communicated, experienced tangibly by both IT staff and customers, and measurable. Respondents in both groups stressed the need to establish appropriate baseline measures to support monitoring of success.

Instructive Differences

- Departments put some finer points on the issue of standards and governance, emphasizing that the standards should be both useful and dynamic, and urging OIRM to partner with them to develop standards and to provide implementation and compliance supports.

- OIRM managers, supervisors, and staff provided a detailed vision of the kind of workplace culture they'd like to see resulting from the reorganization, while departments' visions were framed in terms of the ways the OIRM culture impacts them as customers.

- OIRM respondents spoke more often about the goal of "shared IT identity," while department respondents tended to emphasize the unique things about their existing IT cultures that add value to the Executive Branch and should be preserved.

Finding 1B: OIRM staff and department staff and managers share a consistent definition of excellent customer service.

Enhanced customer service is perhaps the most widely shared element of the visions of success for the reorganization. Indeed, "Deliver responsive service" is the first goal of the Executive and Council Goals for reorganization and "excellent customer service" is viewed as a compelling purpose by both OIRM managers and staff and an array of IT staff and managers in the customer departments.

Efforts are already underway in some areas within the KCIT system to improve customer service and reshape relationships with customers. The recent external customer survey for Radio Communication Services is an example of current efforts to solicit customer feedback resulting in recommendations in the Radio Communications Services 2007-2011 Business Plan. (See Appendix A.)

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In the context of this widely shared desire for enhanced service levels, SLR consultants questioned interview and focus group respondents about their understandings of what constitutes high quality customer service. Taken together, their stories and examples can be summed up into six defining features, which are described on the following page in Figure 1.

Figure 1
Six Features of Excellent Customer Service
(As defined by King County Executive Branch IT managers and staff)

Attitude of equality and service

Respect and listening

Inclusion of relevant stakeholders
in planning and decision-making

Collaboration to define needs and
solutions

Clear

Direct and honest

Timely

Respectful

Clear catalog of services and
rates

"One-stop shopping"

Easy to reach the person who
can help

Timely delivery of results

Understanding of customer
needs and priorities

Proactive

"Can-Do" attitude

Products work

Services are seamless; no
interruptions to daily functions

Careful hand-offs to enable
sustainable results

Competitive costs

Costs aligned with value

Partnership

Responsiveness

Quality Communication

Quality Results

Accessibility

Cost-Effectiveness

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Finding 1C: Assessment participants shared perceptions of the major obstacles to a successful IT reorganization.

Across all 7 departments and OIRM, assessment participants described a number of challenges, which are commonly perceived to present major obstacles to IT reorganization. These include:

- complexity and diversity of business needs across the Executive Branch departments

- diversity of existing IT organizational structures and cultures

- complexity of IT funding structures

- OIRM's current culture and organizational infrastructure (e.g., structures, systems, and processes) do not support consistent, quality customer service

- lack of confidence in OIRM's capacity to manage large-scale change efforts

- department concerns that reorganization will negatively impact existing service levels, autonomy, and flexibility.

Finding 1D: Changes to either the duties of the CIO or the structure of OIRM may require concomitant changes in County ordinance.

King County ordinance language clearly outlines the duties of the CIO and spells out the relationship and role of the Office of Information Resource Management to other County agencies. As the reorganization moves forward to implement a new structure, changes to pertinent County code may be needed to support key changes in the duties of the CIO or the organization of functions within OIRM.

Finding 1E: Human resource issues and labor/management structures and relationships will exert pressures and limits on the reorganization process.

Human Resources

- King County tends to attract mid-career IT professionals who are looking for a stable, family friendly work/life balance. There is, however, considerable variability in the union representation, classification, supervision, and compensation structures for IT employees in the Executive Branch.

- Presently, there are over 500 IT classified employees within the Executive Branch of King County government.

- There may be anomalies in the job classification for employees who perform IT or IT related functions.

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- Not all of the current set of those classified as IT report to an IT manager or supervisor. (The reorganization is intended to assure that an IT supervisor will supervise IT employees.)

The variability in how IT employees are supported and managed in the current structure raises a number of critical issues:

The siloed structure of IT works against King County's ability to support and retain an appropriately skilled workforce.

- Some IT staff are relatively isolated in their local settings and have no available professional growth opportunities within their department or division.

- The fragmentation of IT staff also makes it difficult to do succession planning or anticipate future staffing needs.

Recruiting qualified IT staff is challenging.

- Due to the nature of many work assignments and responsibilities, King County generally needs more advanced senior level staff. Above entry-level skill sets are usually sought when filling vacancies.

- Due to relatively moderate County salaries, staff are often hired at mid to top of their range.

- Additionally, "hot" IT skills that are newer in the workplace and in demand are very difficult to recruit for, as County salaries cannot compete with many private sector companies. This has left several critical positions vacant for long periods of time (e.g., Systems Engineers and .Net Developers).

- Developing IT staff from within has worked to some degree, but due to overall workload issues, coupled with the time it takes someone to become fully proficient on the "hot" technology, this strategy has had limited success.

Span of control/supervisory ratios are highly variable.

- IT managers have anywhere from 0 to 20 direct reports. This variability is present at both manager and supervisor levels. High numbers of direct reports is a particular problem within OIRM, which makes it difficult to provide adequate support and supervision of OIRM staff.

- Succession planning occurs on an irregular basis.

- Training occurs variably across the Executive Branch depending on resource availability and need within individual departments. The limited access to training for many IT professionals undermines both employee satisfaction and performance, since professional growth and performance are so intricately connected to keeping up with new developments and emerging best practices in the rapidly changing technology fields.

Labor/Management

IT Employees within the Executive Branch are represented by three different labor organizations: International Federation of Professional and Technical Engineers, Local 17 ("Local 17"); Technical Employees Association ("TEA"); and Teamsters, Local 117 ("Local 117")

Local 17 represents three different groups that contain IT employees; these group are also called "bargaining units." Though they may be represented by the same union, each bargaining unit negotiates separately. The first Local 17 bargaining unit is composed of IT employees from OIRM, DDES, DES, DAJD, and DCHS. The second is comprised of professional and technical employees primarily within the Department of Public Health. This unit includes IT employees but they are a small fraction of the overall group. The third is comprised of professional and technical employees within the Department of Transportation and also includes some IT employees.

TEA represents one bargaining unit within DNRP which includes IT employees. Likewise, Teamsters, Local 117 represents the Countywide bargaining unit of professional and technical employees, which also includes IT employees. In addition Radio employees are organized in local 77.

The Joint Labor Management Information Technology Committee (JLMIT) JLMIT was formed to enable labor and management to jointly address any changes, proposed or otherwise, to the status quo in King County IT operations as they potentially impact members of the King County Coalition of Unions. The core objectives of the JLMIT are to work in a collaboration to find solutions that address the County's and employees interests to the fullest extent possible, and to communicate information as much in advance as possible. It will be vital, therefore, to work with the JLMIT on a number of reorganization-related issues.

Some of the core issues that will need to be addressed in concert with the JLMIT include:

- a universal definition of what constitutes IT work and the bodies of work within that
- a review of the IT job classifications and compensation to assure alignment with the definition
- standardization of supervisory practices.

CORE QUESTION 2: WHAT IS THE OPTIMAL STRUCTURE FOR EXECUTIVE BRANCH IT?

Context

The question about an optimal structure for Executive Branch IT has a long history. The report in 2004 by Pacific Technologies Inc. (PTI), which was preceded and followed by numerous other studies, clearly established that the IT organizational model was not aligned with the new IT vision and goals, which drive this reorganization. Since that report, steps have been taken to improve that alignment, but some key findings of the PTI report still provide an important context to this question:

- The "highly distributed IT environment, which has evolved without significant focus on countywide needs, serves as a roadblock."

- The distributed nature of the current network infrastructure increases cost and lowers efficiency.

- The County is at or below the median found in other public-sector organizations in several labor efficiency measures and the operational costs for IT are above the typical range.

The current assessment has looked at structure from an organizational development perspective, with the goal of understanding the barriers to and the solutions for developing a high performing IT organization, rather than simply tackling the economic issues. There is no doubt, however, that economic drivers are a critical part of the context, and will inform decisions about structure and staffing.

Finding 2A: The existing structure is enormously complex.

Historically, the structure and culture of IT services within each Executive Branch department has evolved separately, rather than systemically. Each departments' IT organization has been shaped by the specific cultures and business needs of its divisions, centers, offices, and groups. The siloed evolution of IT in each department has produced three major results:

1. Departments have developed a range of highly customized and specialized technical solutions unique to their business needs. Many IT staff who work in the departments bring both specialized knowledge of business needs and a deep sense of ownership and commitment that emerges from their dedicated service to particular customer groups.

2. Because IT has evolved in this way, there is tremendous variation in both the technologies and applications being used, and the processes through which IT functions are managed and applied. A pivotal example is the Help Desk function, which varies by Department and within Departments by division.

   - Some departments have a central help desk and access OIRM rarely.

- Other departments have no central help desk, but have some divisions that use OIRM's help desk; and other divisions that do not.

- Others use OIRM's help desk as the 'telephone message taker' but close the ticket with internal staff.

- One department, DCHS, also provides help desk services to 800 contracted care providers.

3. The evolution of IT from silo to system also creates variety in the relationships between departments and Central IT. For example:

- The 4-person DAJD IT staff supports over 1000 employees and relies extensively on OIRM services.

- Some Departments, particularly DES and DCHS, have divisions largely supported by OIRM, but have other Divisions which are self-supporting and receive little service from OIRM.

- DOT, DNRP, DPH, and DDES provide most of their core functions internally and receive little support from OIRM – except a bit through the Help Desk.

- OIRM provides substantial application development and support to DAJD, DES, and some non-Executive departments; but other departments have considerable application development and support capacity.

Amidst all this variation and complexity, the greatest clarity is in the functions that only OIRM currently provides to the County. These include:

- all communication functions, except those related to the Web

- enterprise-wide technology management including governance, IT strategic planning, and business continuity planning

- enterprise-wide security policies, standards, and planning

- the physical network and wireless, authentication, maintenance, changes, and policies and standards

- the mainframe.

Finding 2B: The optimal structure will support systemic balance between competing needs.

Like all complex systems, Executive Branch IT contains a number of dynamic tensions that exert pressures and create limits on the system as a whole. A dynamic tension occurs when a system contains two necessary priorities or values, which pull in opposite directions. Dynamic tensions are by definition irresolvable – resolving to one pole or the other cannot occur without damaging the system.

The key insight that dynamic tensions offer, then, is the understanding that the goal in these dimensions is not resolution, but rather finding balance over time, which is a dynamic process.

Dynamic Tensions in Executive Branch IT

Centralization	**Decentralization**
Governance, efficiency, and accountability	**Customer service and innovation**
Standard procedures and formal processes	**Autonomous decision-making & informal networking**
Holistic view	**Specialized local knowledges**
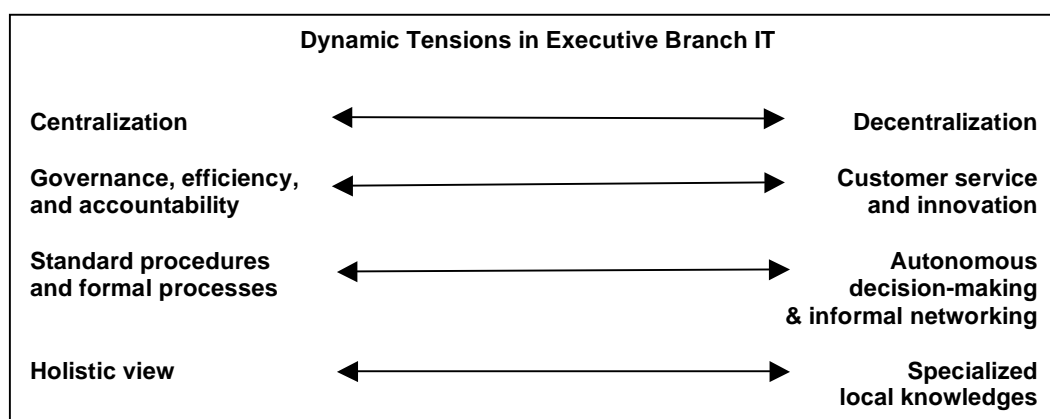
Finding 2C: The optimal structure will embody a set of principles, established to guide alignment of structure with desired results.

Overarching Principle: Support Desired Results

An overarching principle of structural change must be to develop a structure, which facilitates the achievement of the desired results put forward by the Executive and Council. That is, the structure should help improve the ability of Executive Branch IT to:

- deliver responsive service to internal customers, the public, and other jurisdictions

- provide reliable, cost-effective technical and application architectures

- create countywide efficiencies for business functions and infrastructure that reflect attention to unnecessary duplication and standardization of standards and processes

- support a culture of effective governance, clear accountability, and communication

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- ensure IT security and privacy

- facilitate information-sharing – internally and externally

- recruit, deploy, and retain an appropriately skilled workforce

- serve as a leader in IT regional initiatives.

Why Establish Additional Structural Principles?

In the course of the comprehensive assessment, SLR consultants spoke with directors and division managers across the Executive Branch of King County. In the course of those conversations, these leaders raised a number of critical questions and concerns about the reorganization, including:

- How will departments' accountability for their business processes, which are dependent on IT, be addressed, and what is central IT accountable for?

- What will be centralized? What will be distributed? What is the rationale for these choices?

- How will the specific business needs of each department be taken into account?

In response to these questions and concerns, SLR consultants felt it was critical to make explicit some of the key assumptions underlying the process of developing a recommended organizational structure for Executive Branch IT.

These assumptions were refined into a set of five guiding principles for organizational structure. For each of these five principles, criteria were also established to test how well each of the principles are met by a structure.

How Were the Principles Developed?

The principles and criteria presented here incorporate the issues and perspectives raised by a number of different stakeholders. The guiding principles and criteria were first drafted by SLR consultants. Input on that draft was gathered from members of the IT Reorganization Steering Committee.

The consultants developed a second draft incorporating the Steering Committee's input, which was reviewed by the OIRM reorganization project managers. Project manager feedback was incorporated into a third draft, which was reviewed by the CIO. His input was folded into the final draft included in this report.

To the extent possible, stakeholders' feedback was built into the revisions of the principles and criteria – from small wording changes to the deletion and addition of whole components.

Explanation of Structural Principles

Table 2 delineates the five principles and associated criteria for developing the recommended organizational structure. The table also shows how the guiding principles relate to the desired results. The following discusses each principle providing more context and rationale.

1. There will be clear and consistent reporting relationships and accountability for IT across the Executive Branch.

The organizational assessment found that the Executive made clear that ultimate accountability for the successful provision of IT lies with the CIO, and that within the Executive Branch, that will occur through the reporting relationship of the ITSDM to the CIO. However, confusion exists within many departments as to their accountability for IT. This confusion is magnified by the existence of eight different structures for IT across the seven Executive departments and OIRM.

Accountability will be achieved through the specific structural criteria, and also through implementation of IT standards and policies in areas such as:

- security and compliance
- data storage and management
- IT business continuity
- governance and project management processes
- servers, systems, and network
- enterprise architecture
- enterprise applications.

The criteria that IT staff should report to an IT manager does *not* imply that non-IT staff couldn't report to an IT manager. The important idea in this criteria is to create reporting relationships which support the development of technical expertise, consistency in service, and improved IT career ladders.

2. The structure will support the development, retention, and effective use of IT management and staff.

The organization assessment identified a number of human resource issues that changes to structure can affect:

- Staffing levels for core IT functions vary across departments and within departments, depending on funding source. Enterprise funded IT functions tend to be more richly staffed. This leads to uneven service levels and inconsistency in support of IT.
- Supervisory support of IT staff varies considerably. Some IT staff have no technical supervision and some IT supervisors or managers have a very large span of control, making effective supervision and support more difficult. In other situations, an IT manager may have only 1 or 2 direct reports.

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- There are anomalies in the classification and compensation of IT staff across the Executive Branch.

- The recruitment and retention of highly skilled IT staff has become increasingly difficult due to private sector competition. The development of career ladders, training programs, and improved recruitment practices across Executive Branch IT are important.

The span of control ranges in the criteria under this principle should be understood as rules of thumb only. There will likely be individual cases where span of control ranges differ for good and appropriate reasons.

3. Functions that do not vary across departments will be standardized and/or centralized to reduce cost and increase consistency of service.

A stated goal of the Executive is to *"create countywide efficiencies for business functions and infrastructure that are common across the organization."* The assessment found that services were fragmented and delivered in different ways across the Executive Branch. This principle is in direct response to the goal and is one of the changes, which will aid in efficiencies and cost-reductions.

'Centralization' within a department may or may not imply physical relocation of IT staff. In some cases, relocation may be highly desirable; in other cases, there may be compelling reasons to leave staff where they are.

4. The structure will facilitate customer service.

Another stated goal of the Executive is to *"deliver responsive service to internal customers, the public, and other jurisdictions."* The assessment also unveiled that the concept of customer service is a critical element of a vision for King County IT held by IT staff across the Executive Branch. New structures must be in alignment with customer requirements, facilitate service, and make sense to the customer.

5. The structure will be flexible and adaptable to the changing and diverse business requirements of departments and IT.

The fluidity of county government and technology requires any new structure to balance the need for clear accountability with an ability to support functional integration, collaboration, and cross-functional project teams.

Table 2
Guiding Principles and Criteria for Structure Change in Executive Branch IT

PRINCIPLE	There will be clear and consistent reporting relationships and accountability for IT across the Executive Branch.	The structure will support the development, retention, and effective use of IT management and staff.	Functions that do not vary across Departments will be standardized and/or centralized to reduce cost and increase consistency of service.	The structure will facilitate customer service.	The structure will be flexible and adaptable to the changing and diverse business requirements of Departments and IT.
CRITERIA	The CIO is accountable for the cost-effective, secure, and forward thinking delivery of information technology across King County.	Staffing levels of standard IT maintenance and service functions are appropriate to the workload and needs of the business.	IT infrastructure and functions that do not vary by Department will be centralized in Central IT when possible, assuming that adequate or improved service levels can be maintained.	IT skills and/or tools used by a single department to support a service or process that only they provide or require remain within the domain of the department.	The structure will support IT staff teamwork and partnership (within and across department boundaries) by taking into account matrix relationships and/or pairing those relationships with processes that delineate how collaboration will occur.
	IT SDMs have the leadership and oversight of all IT functions within their departments and are accountable for implementation of agreements between the CIO and the Department Directors, such as the Service Delivery Plans.	IT managers with direct reports at manager or supervisor level have no more than 5-8 direct reports.	IT infrastructure and functions that vary by Department will be standardized and delivered at a local Department level when necessary, to improve performance.	The Central IT organization is structured to align with customer requirements.	The structure supports technical innovation.
	IT SDMs have a dual, but clear, reporting relationship to Central IT leadership and their Department leadership.	IT supervisors with staff level direct reports have no more than 12-15 direct reports.	Each enterprise-wide service is provided by a single department that has the necessary core competency and depth of resources to sustain service delivery.		
	IT staff report to an IT supervisor or manager who provides guidance and support in their particular area of expertise	Employees are appropriately classified.			
	IT is structured similarly across all Executive Branch Departments.	Human Resources and staff recruitment, development, and retention have a clear focus.			
DESIRED RESULTS	Support a culture of effective governance, clear accountability, and communication. Facilitate information-sharing – internally and externally	Recruit, deploy and retain an appropriately skilled workforce. Provide reliable, cost-effective technical application architectures.	Create countywide efficiencies for business functions and infrastructure that are common across the organization. Ensure IT security and privacy. Provide reliable, cost-effective technical application architectures.	Deliver responsive service to internal customers, the public, and other jurisdictions Facilitate information-sharing – internally and externally	Facilitate information-sharing – internally and externally Serve as a leader in IT regional initiatives

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CORE QUESTION 3: WHAT CAPACITY DOES OIRM NEED TO SUPPORT THE EXECUTIVE AND COUNCIL GOALS?

Finding 3A: Development of seven core capacities within KCIT are critical success factors for the reorganization.

Overview of the Seven Core Capacities

Achieving the desired results of reorganization cannot occur without a strong, capable organization prepared to lead change, develop positive relationships with staff and customers, and deliver services effectively.

For the IT reorganization to succeed, Enterprise IT must build the capacity to:

- partner effectively with Executive Branch departments
- deliver significantly enhanced customer service
- move past the OIRM/ITS merger history.

Both Enterprise and Decentralized IT must:

- learn effectively through involvement and engagement of internal and external stakeholders
- lead and manage in an environment of continuous change and transition
- lead and manage for organizational effectiveness
- communicate effectively with internal and external stakeholders.

Developing these capacities in Enterprise IT will require far more than just structural changes. Accomplishing the desired results of reorganization will require significant development in the beliefs, mindsets, skills, processes, and systems that guide and shape how the organization does business.

The following sections articulate why each capacity is critical to the success of the reorganization, and describes the current status of the organization in that area. A complete discussion of an approach to developing each capacity is found in Chapter 4, Organizational Capacity-Building Plan.

Rationale for and Current Status of Core Capacities

Capacity 1. Partner effectively with Executive Branch Departments

Why? Accomplishing the desired results of governance, technical leadership, and responsive service will require enhanced capacity to develop positive, collaborative relationships with customer departments and a philosophy of partnering to meet the business requirements of departments, providing expertise and consultation, as well as oversight.

Given the complexity and diversity of the business needs, and technical requirements across the whole executive branch, it is not possible to successfully set policy, establish best practices, or determine needed services without

mechanisms for ongoing, effective information exchange and the ability to take collaborative action.

Partnership relationships also create a context for successful leadership of change in that stakeholders who have a sense of engagement and ownership create fewer roadblocks to change and adopt change more rapidly.

<u>Current Status</u> Department managers and staff, as well as many within OIRM, have significant concerns about the nature of the current relationship between OIRM and the departments.

In its governance role, OIRM is currently experienced as delivering policy and procedural edicts, which do not reflect good understanding of operational realities, and the PRB process is widely experienced as adversarial and punitive, rather than supportive of department objectives.

In its service delivery role, OIRM is currently experienced as communicating poorly and delivering unresponsive service (particularly through the help desk) with an attitude of superiority, and a lack of respect for expertise of department-embedded IT staff.

Capacity 2. Deliver significantly enhanced customer service

<u>Why?</u> Accomplishing the desired result of responsive service will require deep shifts in the orientation of the Enterprise IT organization from a technology-focused culture and structure to a customer-focused organization. A range of actions are needed to increase Enterprise IT's ability to understand customer needs, and consistently deliver responsive, reliable, and cost-effective service to internal and external customers.

<u>Current Status</u> OIRM staff and managers, and customer departments alike, share concerns about the current level of customer service OIRM delivers.

Some key concerns include:

- The current structure is hard for customers to navigate.
- Currently, OIRM does not use customer input as key data in decision-making and measures are not in place to monitor customer service.
- Currently, OIRM does not consistently engage in clear, positive, honest communication with other departments.
- OIRM's help desk is not staffed or designed to succeed.
- Customer issues are not always fully resolved or followed-up.
- Purchasing processes are very slow, making it impossible to address emerging customer needs.
- Hand-offs between OIRM and customers are not always smooth.

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Capacity 3. Move past the OIRM/ITS merger history

<u>Why?</u> Experiences of the 2006 merger between KCOIRM and KCITS continue to powerfully shape individuals' perceptions of current reality and limit their sense of the possibilities of positive change. The lack of reconciliation between these two cultures limits the organization's current capacity to successfully work toward a shared future.

<u>Current Status</u> At the formal level, the merger joined two organizations into a single, unified department. At the informal level, the unification has not yet occurred. "Old OIRM" and "Old ITS" had different histories, different structures, different leadership styles, and different values. The formal merger brought those two worlds together, but did not erase those cultural differences. In some ways, it deepened them.

In terms of the KCIT reorganization effort, this unfinished history is important to address directly because it impacts individuals' perceptions of the value of change, their personal willingness to support change, and their ability to build a common identify and shared commitment to the evolving Executive Branch IT organization.

Capacity 4. Communicate effectively with internal and external stakeholders

<u>Why?</u> Communication is the glue that holds change efforts together, and the fuel that keeps a vision burning. In large organizations, people's perceptions are not shaped through direct experience, but rather through the messages and information they receive through both formal and informal channels. The quality and consistency of the formal messages directly impacts the perceptual environments in which organizational members live.

Expanding OIRM's capacity to share information in direct, clear, timely, responsible, and respectful ways with IT staff and managers across the executive branch will be a critical foundation for successful governance and service delivery.

<u>Current Status</u> Respondents nearly unanimously spoke to the need for positive change in the area of communication within OIRM and between OIRM and customer departments. Key concerns include:

- Staff and managers have limited access to important information about the organization's direction, focus, and strategy.

- Informal communication channels are over-active in absence of routine, formal information-giving processes.

Capacity 5. Learn effectively from internal and external stakeholders

<u>Why?</u> Information delivery is only one half of the communication cycle. Without mechanisms for learning from internal and external stakeholders, the organization cannot make good decisions or manage the impact of those decisions. Increasing organizational capacity to learn from stakeholders not only creates a platform for better decision-making, it also sets the stage for relationship-building and enhanced partnership.

In the context of a reorganization effort, it is vital to provide stakeholders with a meaningful voice in the process, a vehicle for giving feedback, and on-going opportunities to share information regarding the effectiveness of transition. In the absence of these mechanisms, organizational members have no way to make the changes meaningful to themselves and are far more likely to actively work against change or passively adopt a victim stance, feeling that change is being done to them rather than through them.

Current Status

- Staff and managers across the executive branch have limited opportunities to communicate their ideas and contribute their expertise to the issues facing the organization.

- Staff and managers within OIRM experience the culture as uninterested in learning from their expertise and experience, and many feel actively silenced by the current culture.

- Within the current culture, many do not have a sense of safety around asking questions or asserting ideas; doing so is perceived to be intimidating or dangerous.

Capacity 6. Lead and manage in an environment of continuous change and transition

Why? The business requirements of IT customers in King County are highly diverse and always changing. Available technologies and their applications are also constantly changing. The current reorganization effort is a large and important project, but it will not be the end point of change in King County.

The complexity of the business needs and the technical environments make change a constant feature of the system. To be successful as a leader in this environment, leaders and managers in the Enterprise IT organization of King County must:

- Recognize that the system is in a constant, not temporary, state of flux.

- Build their personal capacity to thrive in an environment defined by ambiguity, uncertainty, and complexity.

- Change from a command and control orientation to a collaboration orientation.

- Develop knowledge and core competencies critical for guiding people through the human side of change.

- Learn skills and tools for effectively facilitating change in behaviors, practices, and processes.

- Provide the needed leadership for the predictable periods of uncertainty accompanied by complex change.

- Develop the ability to set vision and design operations that anticipate and flex with change.

- Intentionally expand the organizational capacity to learn and make course corrections over time.

- Develop the organizational capacity to serve as a hub of connectivity and knowledge sharing across diverse departments.

Current Status The Enterprise IT organization is currently led and managed as if it were a stable, simple organization.

- The structure is traditionally hierarchical and communication flows are one-way and limited.

- Mechanisms for coordinating project teams and managing complex workflow issues are not in place.

- The current organizational culture prohibits the kind of ongoing learning required to successfully navigate ongoing change.

- Leaders and managers have tended to view change as a technical, rather than a human, problem and do not currently operate from an understanding of how to address and plan for the human dimensions of change and transition.

- Information is tightly held or withheld and systems are not in place to coordinate information-exchange and knowledge-sharing on the kind of large scale needed.

Capacity 7. Lead and manage for organizational effectiveness

Why? Organizational effectiveness is the core underpinning of many of the desired results. The Enterprise IT organization cannot deliver high quality customer service, produce cost effective results, or exert compelling regional technical leadership without a foundation of core leadership and management skills, and effective processes, practices, and systems.

In addition, the senior management team of the Central IT organization must have the capacity to work together toward a shared vision, to model the behaviors they want to see from others, to engender greater trust and credibility as a team, and to provide the shared leadership necessary for cultural change and overall IT effectiveness within King County.

Current Status There are numerous areas of concern with respect to OIRM's current capacity to lead and manage for organizational effectiveness. Major focus areas include:

Vision and Direction

Currently, staff and managers experience unclear or evolving expectations, competing and changing priorities, and lack of clarity regarding rationale and implications of decisions

Decision-making

Lack of clarity about decision-making processes limits effective decision-making throughout the organization.

- There is virtually no empowerment for decision-making below the highest organizational level, and clear ownership and accountability for decision-making is widely absent.

- Decisions are made with limited or no input from stakeholders.

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- Overly slow decision-making results from bureaucratic hurdles and lack of shared vision within the Senior Management team.

- Crisis decision-making results from lack of timely decision-making and high volume of day-to-day management that tends to prevent efforts to be proactive.

Barriers to Collaboration and Teamwork

To the extent that individuals function in a matrix structure around project or program work, they report a lack of coordinating mechanisms, and lack of shared understandings about roles, relationships, and authority. In the absence of these critical processes and understandings, many feel overworked and overwhelmed, pressured by unreasonable timeframes and deliverables, and inefficient due to fragmentation of expectations and energies.

Management/Supervision Skill Levels

A number of individual managers and supervisors were called out as positive examples of good operational and inspirational leadership. However, overall, staff expressed a number of concerns about the current overall management capacity in the OIRM organization, including:

- limitations in managers' ability to work with individuals in a positive, mentoring capacity

- limitations in ability to engage constructively with conflict

- poorly run meetings

- crisis-oriented management

- lack of follow-through

- lack of recognition of accomplishment.

Lack of Cohesiveness Among Senior Management

The Senior OIRM Management Team doesn't appear to function as a cohesive leadership team or successfully communicate a consistent, shared vision.

Undeveloped Internal Processes and Systems

Concerns about operational processes are shared by most of those interviewed. Many existing OIRM processes are perceived (by both internal and department stakeholders) to be inadequate to support the goals of the reorganization. Three themes emerged from staff discussion of current process and structure issues:

- Processes and procedures are cumbersome and poorly understood.

- As new processes are developed, staff is not supported in transitioning into the new way of doing business.

- Lack of project planning, coordination, and prioritization mechanisms.

Conclusion: The findings of the comprehensive assessment can be summarized as a set of drivers, desired results, challenges, and core strategies for re-organization.

The assessment findings summarized in this chapter not only suggest areas of alignment with the overarching desired results, they also describe the current situation relative to those desired results, and begin to suggest a set of core strategies for moving from the current state to the desired state.

Table 3, on the following pages, groups the eight Executive and Council goals around four drivers of change. It introduces strategies, which can help drive the organization to the desired results. These are explored in detail in Chapters 3 and 4.

(This table appears again in Chapter 6, as the outline for the Benefits Realization plan.)

Table 3
Drivers, Desired Results, Current Situation, and Core Strategies

Driver: Enhance Customer Service		
Executive and Council Desired Results	**Current Situation**	**Core Strategies Suggested by the Findings**
1. Deliver responsive service to internal customers, the public, and other jurisdictions	Customer departments report delivering responsive, personal service to the business-line customers and publics they serve. They do not believe that Enterprise IT delivers equally responsive service to them. They would like to see significant enhancement in Enterprise IT's ability to partner with them in the PRB process; to respond to service requests placed through the OIRM help desk; and to communicate changes in an ongoing, timely, and respectful way. Release management functions are not currently effective in supporting sustainable hand-offs. Hand-offs don't allow sufficient supports for implementation. In addition, customer departments perceive a need for augmented service offerings in the area of high-level technical consulting and business process analysis.	a. Increase clarity and accessibility of services. b. Create a culture of responsiveness, including new mindsets, practices, and processes. c. Build a culture of clear, direct, timely and respectful communication. d. Support the ability of IT across the Executive Branch to respond to the unique business requirements of Departments and their stakeholders. e. Enhance the linkage between business development and IT development.
2. Provide reliable, cost-effective technical and application architectures	The current cost structure for IT creates perceptions that the cost of enterprise services are neither competitive nor merited. Currently, enterprise architecture resources are disproportionately focused on legacy systems, which limits resources for forward-looking architecture development.	a. Increase Enterprise IT capacity to support new enterprise application development. b. Develop the role of release management and transition from development to operations. c. Centralize and standardize processes related to LAN, Desktop Support, networks, servers, and other elements of the enterprise infrastructure.
3. Facilitate information-sharing – internally and externally	Two key areas of information sharing are underdeveloped in the current culture: - Gathering and using information from internal and external stakeholders to guide decision-making and build shared accountability. - Sharing of technical and best-practice information across departments by staff with similar functions.	a. Develop effective processes for gathering information from internal and external stakeholders and using that input to guide decision-making and build shared accountability. b. Support the sharing of technical and best practice information across departments by staff with similar functions. c. Cultivate relationships between central IT and customer departments.

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Driver: Reduce Risk		
Executive and Council Desired Results	**Current Situation**	**Core Strategies Suggested by the Findings**
4. Support a culture of effective governance, clear accountability, and communication	The current structure and culture does not support effective governance or accountability, and communication systems and relationships are underdeveloped.	a. Improve organizational structure to better support the desired results. b. Build Leadership and Management capacity. c. Streamline and standardize governance and communication processes.
5. Ensure IT security and privacy	Currently, the role and responsibilities of security leadership is not well defined, and enterprise security is minimally staffed. Security and privacy management practices are diversely defined and implemented across departments. Enterprise IT does not currently have an auditing tool to assess security status across the executive branch.	a. Enhance the role of security leadership. b. Centralize and standardize security policy, procedures, and practices.
Driver: Use Resources Wisely		
Executive and Council Desired Results	**Current Situation**	**Core Strategies Suggested by the Findings**
6. Create countywide efficiencies for business functions and infrastructure that are common across the organization	Because IT structures have evolved separately, there are clear areas in which similar functions are currently structured differently. There are significant inefficiencies in this variety and duplication of similar functions. (An important limit on the degree of possible centralization is the number of functions, which are necessarily customized to meet specific business needs and are therefore not amenable to centralization.)	a. Leverage economies of scale through centralization and standardization b. Reduce duplication (not redundancy) c. Reduce variation in delivery of similar functions

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Executive and Council Desired Results	Current Situation	Core Strategies Suggested by the Findings
7. Recruit, deploy, and retain an appropriately skilled workforce	Currently, the siloed nature of IT works against King County's ability to accomplish this desired result. - Some IT staff are relatively isolated in their local settings, and have no available professional growth opportunities within their department or division. - IT recruitment functions are duplicated in multiple departments. - IT staff in the Executive Branch currently do not have equal or adequate access to learning, information-sharing, and skill-development opportunities, which are critical factors in staff satisfaction and performance - IT staff performing the same work may be classified and compensated differently, depending on their location within the Executive Branch. - The hiring and orientation practices and workplace culture in OIRM do not foster employee satisfaction or retention. - The King County salary scale is not competitive, particularly for high-level positions.	a. Improve the workplace culture of OIRM. b. Develop career paths for IT professionals. c. Develop trainings and convene information-sharing forums available to IT staff across the Executive Branch. d. Develop a centralized role for the recruiting and hiring of IT professionals. e. Develop staff sense of belonging to a single IT organization.
Driver: Lead Technical Initiatives and Changes		
Executive and Council Desired Results	**Current Situation**	**Core Strategies Suggested by the Findings**
8. Serve as a leader in IT regional initiatives	Across the Executive Branch, confidence in Enterprise IT's capacity to lead change and manage technical initiatives is low. The Executive and Council expectation is that Central IT will have the capacity to lead not only Executive Branch-wide initiatives, but also inter-county and county-state initiatives.	a. Enhance capacity to lead change. b. Enhance capacity to manage technical initiatives. c. Enhance capacity for strategy development, planning, evaluation, and analysis.

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RECOMMENDED EXECUTIVE BRANCH IT ORGANIZATIONAL STRUCTURE

Context

An organization's structure can hinder or facilitate its operations and is therefore one important piece of the puzzle of creating and maintaining an effective and healthy organization. The structural dimensions of organizations encompass issues such as:

- grouping and location of key functions and processes

- reporting relationships

- staffing

- span of control

- roles.

The context for the proposed reorganization of King County Information Technology within the Executive Branch has three major components:

- The Executive's recommendations for structure, which were codified by the Council in 2006, and which brought together under the Chief Information Officer all IT governance, planning, technology infrastructure, telecommunications, radio, and IT services in the Executive Branch Departments[2].

- The findings of the PTI Report of 2004, which identified numerous areas of duplication and inefficiency across IT.

- The findings of the organizational assessment reported in Chapter 2, which elucidated functional, system, and cultural barriers to an effective organization as well as the staff, manager, and leadership vision for a high performing organization.

The recommended structure provides the 'container' for responding to this context and creating an effective, high-performing IT organization. It is described and discussed from three different perspectives in this chapter:

- functional organization

- reporting relationships

- cross-functional or organizational relationships.

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[2] Exceptions to this were GIS services, which reside in DNRP and radio services which are operated by DOT.

The chapter contains four sections, as follows:

- *Section I.* An overview of the functional structure of King County IT and a suggested new nomenclature.

- *Section II.* A delineation and discussion of the recommended structure in terms of the hierarchical reporting relationships within Executive Branch IT.

- S*ection III.* A delineation and discussion of a recommended matrix structure to support improved working relationships, which is overlaid on the hierarchical organization structure.

- *Section IV.* An assessment of how the recommended structure supports the principles and criteria for structure, described in Chapter 2.

SECTION I. A FUNCTIONAL VIEW

The current situation

The Office of Information Resource Management (OIRM) has a complex, functional role within King County, which must be taken into account when considering a reorganization of information technology within the Executive Branch. OIRM is an office within the Executive Branch with an advisory, planning, and fiscal role for IT across all county departments, offices, or agencies, and with a management role for IT within the Executive Branch Departments.

By ordinance, the CIO advises and coordinates with **all** branches of county government on:

- technology issues, including technical standards for hardware and software
- policies and standards for security and privacy of data
- technology strategic planning
- investment in technology
- management of technology projects.

The CIO also has the authority to release funding for technology projects and recommending budget changes for technology projects.

Within the Executive Branch, the CIO has additional responsibilities and authority for planning and oversight of all IT functions including:

- approving the department information technology service delivery plans (in conjunction with the Department Directors)
- assuring that the departmental service delivery needs are met, based on the plan
- hiring or designation of service delivery managers to manage the IT operations of the Executive Branch departments (again, in consultation with the Department Directors).

The functions of Executive Branch IT and a new recommended nomenclature

The scope of this reorganization is only the Executive Branch, but it is occurring in the context of the complex role of what is currently called OIRM and which is described above. To that end, a new simple nomenclature is recommended to differentiate the new structure from the old, and clarify the different functional roles within IT in King County in the future.

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The recommended nomenclature is:

Office of King County Information Technology (KCIT)
> To describe the IT organization, which fulfills all the roles described in the ordinance.

Enterprise IT
> To describe the services provided by KCIT to all County departments and services that support KCIT itself.

Decentralized IT
> To describe the services provided by KCIT locally, at an agency or departmental level. In the context of this reorganization, these are IT services provided in the seven Executive Branch Departments.

Using this nomenclature, the functions of Information Technology within King County can be organized as shown in Figure 2.

Within KCIT, there are essentially three groups of functions, which are color coded in Figure 2. The first group is functions that support all of King County government and are Enterprise Services. They include:

> *Enterprise IT Governance:* the processes which manage planning, investment decisions, oversight of project implementation, security and data integrity, and meeting the broad needs of customers.

> *Enterprise IT Business Solutions:* the functions which support the development of technology solutions to King County business needs as reflected in all or multiple departments and the development of standards and practices related to project management and software.

> *Enterprise IT Operations:* the functions which maintain the underlying IT infrastructure for King County including the servers, networks, and telecommunications, and the standards and protocols which support the infrastructure.

The second set of functions are those provided centrally by KCIT to support its own organization, including the decentralized services. These include:

> *IT Human Resources:* the functions which support effective labor relations, recruitment and hiring of qualified IT staff and management, training and development of IT staff, and the maintenance of day to day human resource processes.

> *IT Finance and Administration:* the functions which establish the financial policies and practices, manage procurement, and coordinate budget for all of Executive Branch IT, and KCIT internal financial functions such as payroll and accounting.

The third set of functions are decentralized and provided by KCIT through the Executive Branch Department IT services. They include:

Departmental Network Operations: the functions which support the local area networks (LAN) and desktop applications.

Departmental Database and System Operations: the functions which administer the departmental servers and the databases and applications which reside on them.

Departmental Business Solutions: the functions which support the development of technology solutions for the unique departmental business needs.

Departmental IT Finance and Administrative Services: the functions which coordinate at a local level with the central KCIT administrative functions for activities such as policy promulgation, procurement, contracting, budget development, and accounting.

Figure 2
A Functional View of IT

Executive Branch

Office of King County
Information Technology

Enterprise IT Governance
- Strategic Planning
- Investment decisions
- Oversight of project implementation
- Security and data integrity
- Meet the broad needs of customers

Enterprise IT Business Solutions
- Develop technology solutions for enterprise business needs
- Set standards and practices for project management
- Set standards for software

Enterprise IT Operations
- Maintain and support IT infrastructure
- Set standards and protocols for supporting infrastructure

IT Human Resources
- Labor Relations
- Recruitment
- Training & Development
- Daily HR Processes

IT Finance & Administration
- Set financial policies and practices
- Manage procurement, contracts, and assets
- Coordinate budget development

Decentralized IT
- Departmental Network Operations
- Departmental Database & System Operations
- Departmental Business Solutions

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Parameters for centralization and decentralization

The principles and criteria for developing the organizational structure, described in Chapter 2, call for the standardization and/or centralization of functions that do not vary across the Executive Branch Departments. In developing the approaches to improving the organizational structure of IT, the criteria were taken a step farther and parameters were set for functions that would be:

- Enterprise Services and provided at centralized locations

- standardized across KCIT, but delivered locally by Departments

- decentralized and provided by Departmental IT groups.

These parameters are delineated in Table 4 that follows. It should be noted that in some cases, such as the Service/Help Desk and Radio, they do not reflect the current situation but the desired situation, and may only be achieved over a number of years of careful transition and development.

The next two sections of this chapter describe the recommendations for how these functions are to be organized in terms of reporting relationships (the hierarchical view) and in terms of working relationships (the matrix view).

Table 4
Guidelines for Centralization, Standardization, and Distribution of IT Functions within the Executive Branch

Function	Provided by the central IT group as an enterprise service or to support KCIT itself	Standardized but delivered locally by Executive Branch Departments	Decentralized and provided by Executive Branch Departmental IT Groups
Governance	Project review Setting of standards and policies Managing & coordination of governing process		
Policy and Planning	Strategic & long range planning IT business project & operations planning Application portfolio assessment & selection Evaluation and measurement of service	Application portfolio management	IT/Business Line integration Service development of unique services, internal to department
Human Resources	IT Job standards Recruiting, rosters of qualified candidates for departments, reference checks, offers, and hiring authorization IT new hire orientation Daily HR activities Training programs	Training to standards Performance evaluation and disciplinary processes	Decisions re: staffing needs Selection of new hires Business line manager participation in IT staff performance evaluation and disciplinary processes Identification of specific training needs
Finance & Budget	Budget development, coordination, and monitoring Billing Payroll (for central IT group)	Financial policies, practices, and costing and reporting methods	Departmental budget development, coordination, and monitoring Payroll for Departmental IT

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Function	Provided by the central IT group as an enterprise service or to support KCIT itself	Standardized but delivered locally by Executive Branch Departments	Decentralized and provided by Executive Branch Departmental IT Groups
Procurement & Asset Management	Maintenance of inventory of hardware and software Large group purchasing contracts Management of contracting, including policies and procedures Management of IT purchasing		Identification of software/hardware required for business operations Funding of business line purchases
Cable	Negotiate contracts for cable service Manage contracts and support external customer relations		
Applications	Maintenance and support of enterprise applications Development and support of new enterprise-wide applications (can be contracted for)	Application portfolio management including: – widely used off-the-shelf applications – standards for database development – standards for platforms	Development and customization of applications supporting unique business
Network	Development, support and maintenance of Wide Area Network (WAN) and I-Net Local Area Network (LAN) and Desktop support for central IT group	LAN and Desktop support	
Servers & storage	Infrastructure, including maintenance, backup, and data restoration Application and data installation for Central IT Maintenance of Data Center facilities		Application & data installation Maintenance and backup of departmental servers

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Function	Provided by the central IT group as an enterprise service or to support KCIT itself	Standardized but delivered locally by Executive Branch Departments	Decentralized and provided by Executive Branch Departmental IT Groups
Service/Help Desk	Develop & maintain Tier 0 self-help site on the intra-net Set help desk platform, standards & policies Tier 1 Tier 2 and 3 for enterprise-wide applications & systems Monitor service levels		Tier 2 and 3 for unique Dept applications
Active directory/messaging	Maintenance and support		
Radio	Maintaining and support of public safety radio system Installation and repair of radios for both King County and external public agencies		
Telephone	Infrastructure & service Inventory management		Phone device deployment

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SECTION II. A HIERARCHICAL VIEW: REPORTING RELATIONSHIPS

About the recommended structure

The recommended structure of reporting relationships is built around three priorities that are woven into the principles and criteria, but which are important to call out:

- ❖ The accountability of the CIO for IT services within the Executive Branch.

- ❖ The desire to create a clearer bridge between IT services provided centrally and enterprise-wide and those that are provided locally at a department level.

- ❖ The desire to provide clear and supported career paths for IT staff and the capacity to develop succession plans for management and leadership.

The recommended organizational structure depicts an end-point or goal. There is no implication about the steps needed to achieve that end-point or the length of time needed to achieve it. It is expected that this will differ for IT in each of the Executive Branch Departments and Enterprise IT.

The recommended structure builds on the current structure, grouping functions somewhat differently for improved clarity, adding or streamlining supervisory capacity where needed, and adding new functions in order to implement the criteria. It is delineated in Figure 3, which is preceded by explanatory notes to aid the reader in more fully understanding the purpose of each element of the structure.

How to read the organizational chart

Multiple Pages

The front page of the organization chart shows the senior management team for KCIT and provides highlights of their key responsibilities. The following pages follow the senior management team structure from left to right, displaying the structure for each division of KCIT.

Clerical or Administrative Support Staff

For simplicity purposes, these positions are not called out in the organizational structure. They are critical, however, and SLR believes that greater use of these types of staff would increase the management capacity of KCIT. It is recommended that support staff positions be reviewed during transition, as changes in the management structure are implemented.

Explanatory Notes

The next section provides a set of notes that describe the salient features and rationale for key elements of the recommended structure. These amplify how the

structure fits the criteria and the desired results. Reviewing the notes alongside the organization chart will be useful.

Explanatory notes

A Question Mark: '?'

In some cases, the title and classification of a needed position, including many of the senior management team, are not clear without further discussion and exploration. These are identified simply with a question mark and will be determined during transition planning. The exact titles and classification as director, manager or supervisor will be determined not just by the number of staff managed, but by the complexity of the area supervised, the critical nature and scope of the work being managed, and the training and expertise of the staff being supervised.

Deputy CIO

In the current structure, the CIO has 12 directors or managers reporting to him, as well as broad accountability to the Executive and separately electeds, and therefore, has a span of control that is too broad to allow him to be fully effective. The position of Deputy CIO solves two problems at once. It reduces the number of people reporting directly to the CIO, while strengthening the leadership support for Departmental IT. This position has responsibility for both decentralized services and the governance, which spans the whole county, is a key component of creating a bridge between services provided centrally and those provided locally by the Executive Branch Departments.

Expansion of IT Human Resources Role

The role of IT Human Resources has been expanded to support the Desired Result and principle of "Recruit, deploy and retain an appropriately skilled workforce." The specific positions and focus areas were greatly informed by input from the departments. In the recommended structure, IT Human Resources will be newly responsible for:

- recruitment of skilled IT staff across the Executive Branch, including strategic advertising and applicant sourcing
- orientation of IT staff across the Executive Branches
- coordination and consistent application of corrective actions
- training coordination that identifies training needs and promotes maximum use of training opportunities for IT employees
- development of new training programs.

Addition of Procurement Function

Centralized procurement is conceived as a service to the Executive Branch Departments and a lever for increased consistency and efficiency in the software and hardware purchases. It will increase the County's capacity for large group purchasing contracts and lift the onerous tasks of inventory and asset management from the departments. Departments will continue to control their budget and purchasing decisions.

Addition of Decentralized Services Budget Coordination Function

The structure creates a budget coordination role, offering assistance to IT Service Delivery Managers in developing department IT budgets and monitoring them. This function is separate from the budgeting for KCIT itself. Similar to centralized procurement, it is an administrative function that can be provided to the departments, and at the same time, create opportunities for better planning of IT resources across the Executive Branch.

Service Desk

The recommended structure centralizes the Service Desk Tier 1 functions as an enterprise service, and assumes that the policies and practices for Tier 2 and Tier 3 responses are standardized. This represents a significant change from the current fragmentation and will require time to implement. It can result, however, in a greatly improved level of consistent service across the Executive Branch.

Project Management Office Manager

Currently, the 16 Project Managers report to the Director for Enterprise Services. In this recommended structure, a Project Management Office Manager position is added, which will have the responsibility for assuring enterprise project priorities are met by coordinating and balancing staff resources and schedules across the project teams.

Radio

Radio is shown as part of the Enterprise Business Solutions. During transition planning this is likely to be explored in more detail, as network and radio technologies are increasingly similar and in the future Radio may better reside within Enterprise Operational Services.

Department "X"

Department "X" is a model for the reorganization of IT services within Executive Branch Departments. It is aligned with the overall KCIT structure, which will facilitate the development of working relationships across KCIT, and is adapted from the current structures of DCHS and DDES (which have already largely reorganized functionally). The specific structures will vary by department, but will have in common the critical direct reporting relationship to the KCIT Deputy CIO and the consultative relationship with the Department Director.

Figure 3
A Hierarchical View of Executive Branch IT:
Overview
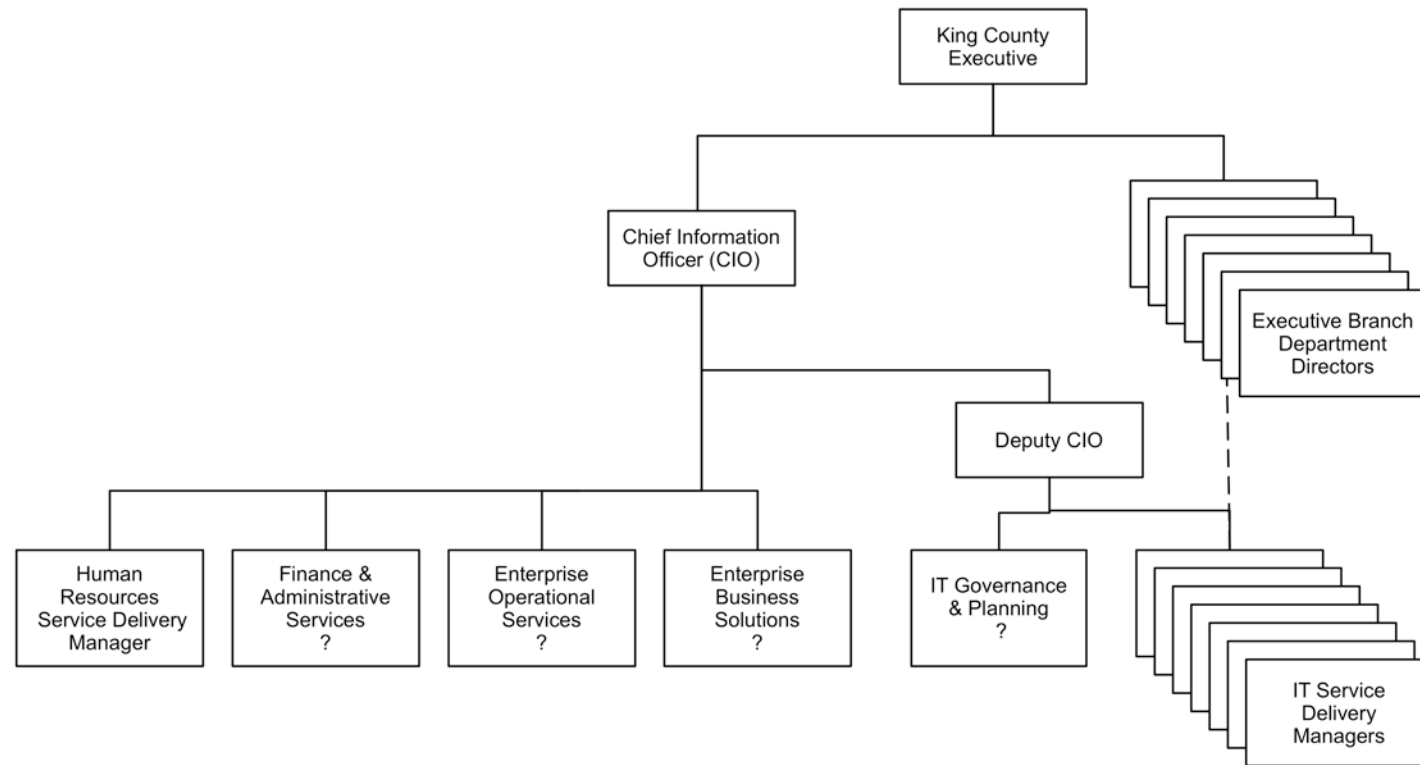
Note: ? indicates that title and classification will be determined during transition planning

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A Hierarchical View of Executive Branch IT:
Human Resources
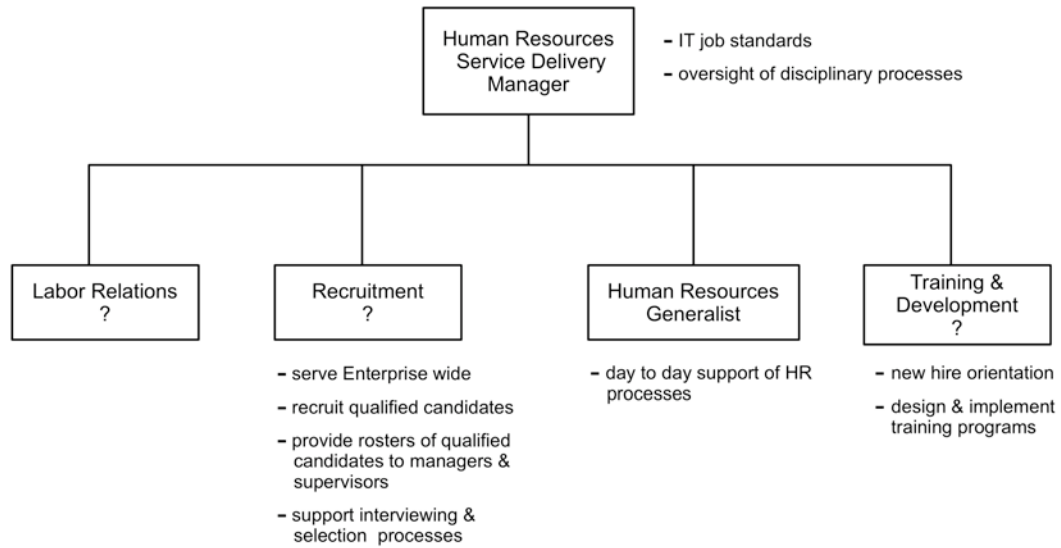
Human Resources
Service Delivery
Manager

- IT job standards
- oversight of disciplinary processes

Labor Relations
?

Recruitment
?

Human Resources
Generalist

Training &
Development
?

- serve Enterprise wide
- recruit qualified candidates
- provide rosters of qualified candidates to managers & supervisors
- support interviewing & selection processes

- day to day support of HR processes

- new hire orientation
- design & implement training programs

Note: ? indicates that title and classification will be determined during transition planning

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A Hierarchical View of Executive Branch IT:
Finance & Administrative Services

```
                      ┌──────────────────┐
                      │   Finance &      │
                      │  Administrative  │
                      │    Services      │
                      │       ?          │
                      └──────────────────┘
```

Procurement Manager	Cable Compliance Officer	Finance Manager	• sets enterprise wide standards & policies • costing methodologies • reporting procedures	Budget Manager

Contract Services	Asset Management	Purchasing	Payroll	Accounting	Financial Analysis	Decentralized Services IT Budget Coordination	Central IT Budget Coordination

Provide enterprise-wide services including

• IT software & hardware large group purchasing

• management of contracts

• inventory management

Services for Central IT at onset. May provide department support over time.

• service costs
• investments

• monitor Departmental IT budgets

• assist Departments in budget development and justification

• monitor Central IT budget

• assist with budget development and justification

Note: ? indicates that title and classification will be determined during transition planning

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A Hierarchical View of Executive Branch IT:
Enterprise Operational Services

Enterprise Operational Services ?

- Telecommunications Manager
- Service Desk Manager
  - sets enterprise wide policies, standards, and methods
  - manages Tier 1 response
  - monitors and coordinates Tier 2 & 3 response
- Systems Engineering Manager
  - DSS Supervisor
  - CSS
  - SQL
- Network Services Manager
  - Network Engineering & Support Supervisor
  - Network Tools
  - LAN/Desktop Support ?
    - sets enterprise wide policies, standards & methods
- Data Center Operations Manager
  - Data Center Shift Supervisors
  - Data Center Facilities
  - Production Support/ Change Management Supervisor
  - NOC

Note: ? indicates that title and classification will be determined during transition planning

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A Hierarchical View of Executive Branch IT:
Enterprise Business Solutions

Note: some aspects of ADSS may move to Departments over time

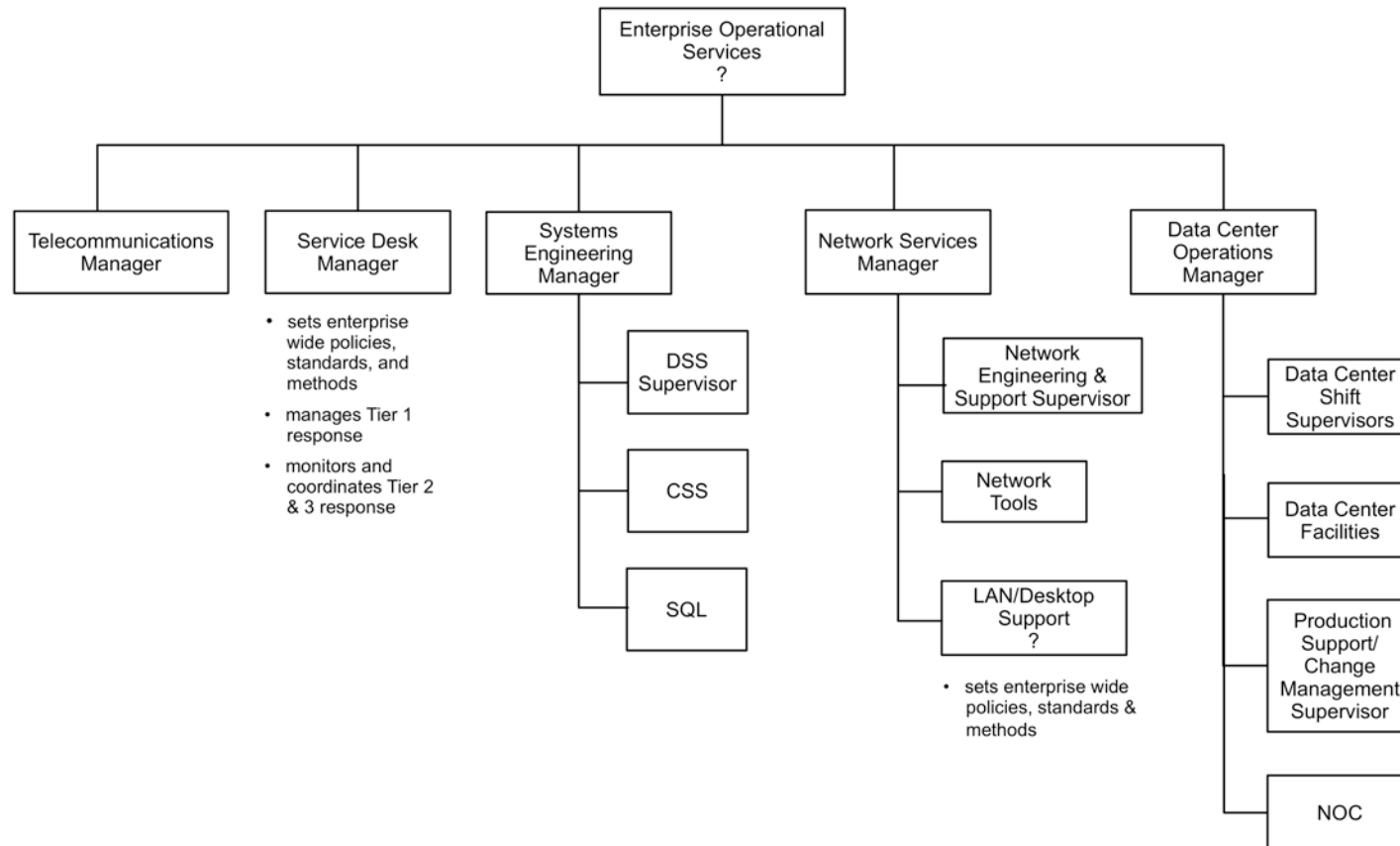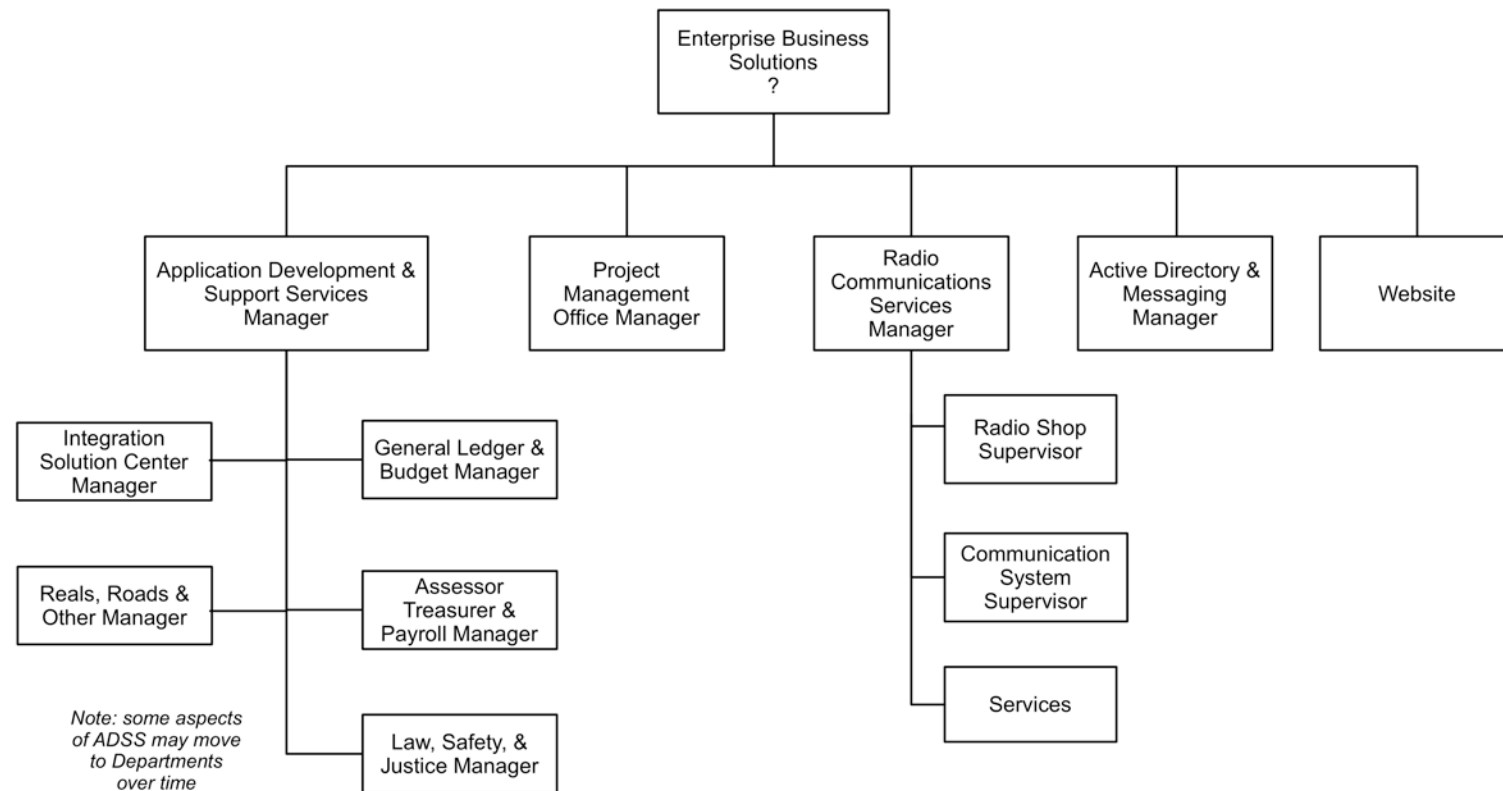Note: ? indicates that title and classification will be determined during transition planning

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A Hierarchical View of Executive Branch IT:
IT Governance and Planning

IT Governance
and Planning
?

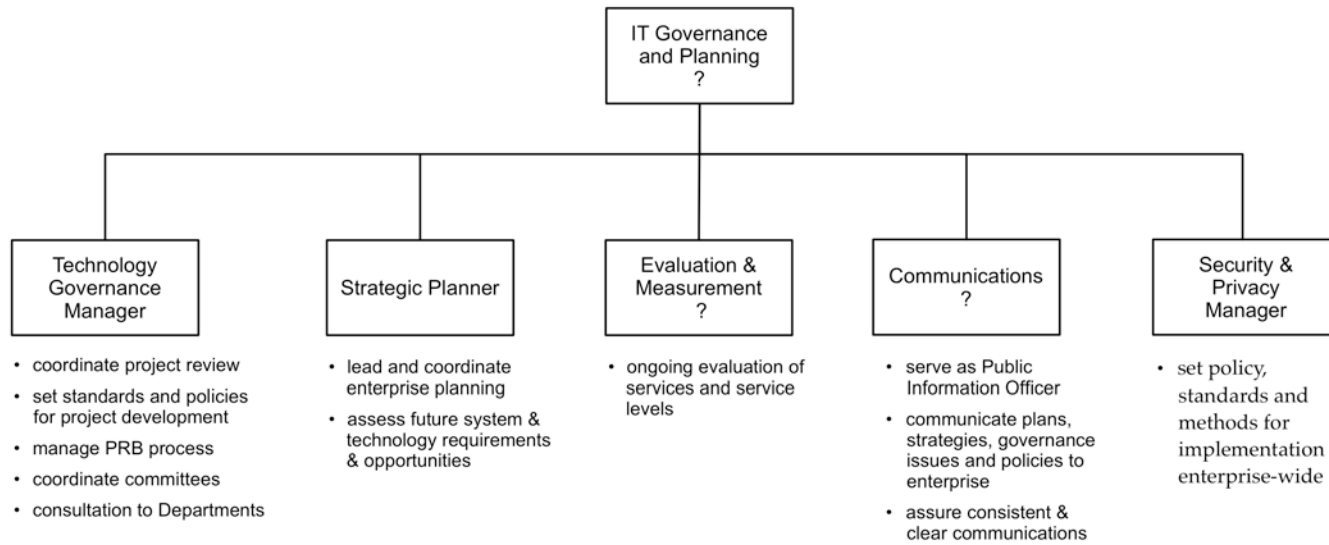| Technology Governance Manager	Strategic Planner	Evaluation & Measurement ?	Communications ?	Security & Privacy Manager
• coordinate project review • set standards and policies for project development • manage PRB process • coordinate committees • consultation to Departments	• lead and coordinate enterprise planning • assess future system & technology requirements & opportunities	• ongoing evaluation of services and service levels	• serve as Public Information Officer • communicate plans, strategies, governance issues and policies to enterprise • assure consistent & clear communications	• set policy, standards and methods for implementation enterprise-wide

Note: ? indicates that title and classification will be determined during transition planning

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A Hierarchical View of Executive Branch IT:
Department "X"
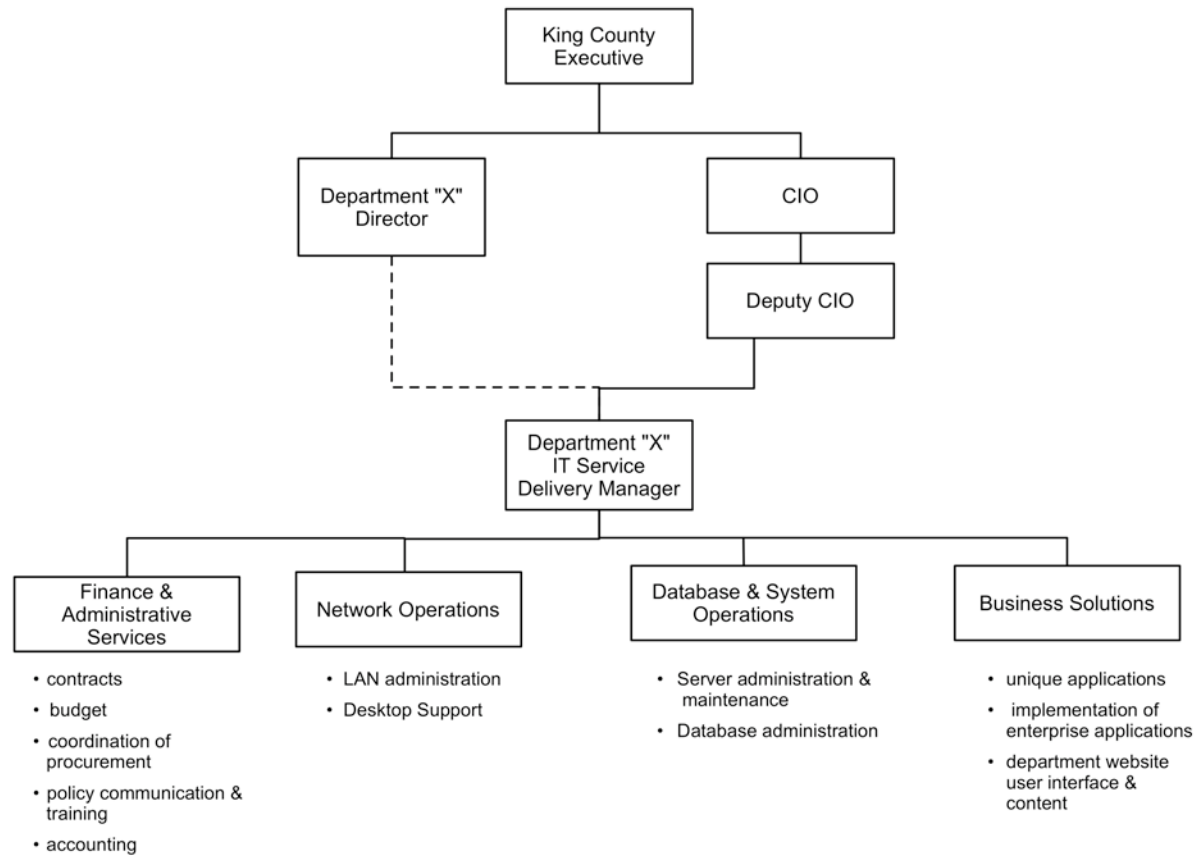
Note: ? indicates that title and classification will be determined during transition planning

SECTION III. A MATRIX VIEW: WORKING RELATIONSHIPS

Why is it important to look beyond the hierarchical view of structure?

Hierarchical structure diagrams show lines of authority, reporting relationships, and span of control. They do not necessarily show the organization's essential lines of work, how that work gets done, or who has to work together to carry it out. Because these critical elements of an effective structure are not visible in the "org chart" view, they need to be demonstrated in other ways.

The hierarchical view of an organization is grounded in the industrial age when assembly line manufacturing was best supported by having workers and supervisors be expert in very narrowly defined and focused tasks, passing that work on to the next set of workers with different narrowly defined tasks. In a strictly hierarchical organization, communication is up and down the chain of authority, and lateral communication happens only based on personal relationships rather than deliberate organizational processes. This by and large describes the current structure of OIRM and its relationship with Departmental IT groups.

Today, a high performing IT organization depends on interface with other parts of the organization and a broader understanding of overall processes, business requirements, and information technologies. In particular, when customer service is a priority, as it is for KCIT, lateral communication and teamwork is essential.

The recommended structure is organized functionally. Therefore, to meet the desired results KCIT needs both formal and informal processes that support the working relationships across departments and between functions. These processes should speed up and deepen communication and tap the expertise of staff across the whole organization to improve efficiency, service levels, and effectiveness of the IT solutions.

Matrix structures

The need for teamwork and lateral communication is addressed in many complex organizations through the establishment of a 'matrix' structure, which formalizes a cooperative approach to getting work done. Each high performing organization's matrix structure is unique and will change over time as requirements change. There are three basic types of matrix structures, and many organizations use more than one form or a variation of a particular form. The three basic types of matrix organizations and examples of how they might be implemented within the recommended structure follow.

Functional Matrix

In a functional matrix, employees are members of a functionally organized division, but there are processes and procedures that ensure they collaborate with other functions. Someone, within each functional area, is designated to assure coordination and alignment of activities with other functional areas. In the recommended structure, for example, the explicit responsibility to coordinate across functions could be built into the job expectations for managers, supervisors, or other designated staff. The importance of this can be seen in Table 5, which illustrates at a macro level the frequency with which different functional areas within KCIT, as described in the recommended structure, might need to interact and work together to achieve the desired results.

Table 5
A Functional Matrix View of the Recommended Structure

Key:
- ● = frequent and ongoing interactions
- ◉ = episodic or project based interactions

	IT Governance & Planning	Human Resources	Finance & Admin	Enterprise Operations	Enterprise Business Solutions	Decentralized Services	Dept X IT Finance & Admin	Dept X IT Network Operations	Dept X IT Database & System Operations	Dept X IT Business Solutions
IT Governance & Planning	▨	◉	◉	●	●	●				
Human Resources	●	▨	●	●	●	●	◉	◉	◉	◉
Finance & Admin	◉	●	▨	●	●	●				
Enterprise Operations	●	●	●	▨	●	●		●	●	
Enterprise Business Solutions	●	●	●	●	▨	●			◉	

Balanced Matrix

In a balanced matrix, employees are assigned or aligned with a different part of the organization, in addition to their functional alignment. In the recommended structure, for example, an employee might be functionally aligned with applications development, and departmentally aligned with Department "X". In a well-functioning balanced matrix, the business goals of KCIT and Department "X" would be supported as equally important, the accountability would be 'balanced' across both organizational dimensions, and information would flow freely between them.

Implementation of this matrix form requires a clear differentiation between the roles and responsibilities and expectations of three types of managers. These roles and responsibilities need to be clear to the whole organization and embedded in both the position descriptions and the work of the manager. Table 6 gives a brief description of the types of managers to be found in a balanced

matrix, and an example of how that might play out in the recommended structure.

Table 6
Manager Roles in a Balanced Matrix

Types of Managers & Role in a Balanced Matrix	*Example in Recommended Structure*
Functional managers who set the policies, standards, and practices that determine how work will be carried out, and in some organizations, assign resources and participate in the evaluation of employees in other operational areas	An example of this in the recommended structure would be the Network Service Manager who would set the standards and procedures for LAN/Desktop support.
Operational managers who manage the day to day processes	An example of this in the recommended structure would be the manager of Network Operations in Department "X," who would assure that LAN/Desktop support is carried out in ways that meet the set standards.
'Node' managers, who are called that because they sit at a node between the functional and operational, and who provide coordination between the functional and the operational managers	In the recommended structure, these might be the IT Service Delivery Managers who would be considered part of the KCIT senior management team, but reside in the departments with consultative roles to the department leadership.

Project Matrix

In a project based matrix, employees move between functional areas and projects. Employees are assigned to projects as needed, and work under the direction of a project manager, but look to their functional manager for performance evaluation, career development, and their next assignment. This form of matrix is currently used within OIRM, though imperfectly and inconsistently. To be effective, the roles and responsibilities need to be clear for each project, and the functional and project requirements need to be in alignment.

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Levels of Communication and Interaction

In talking about working together across different organizational dimensions, it is helpful to consider different levels of communication and interactions. There are parts of the organization where cross function or cross department interactions are critical for success, and others where they are less important. Some useful distinctions are:

Networking – when information is exchanged for mutual benefit, but no sharing of mutual goals is required.

Coordination – when information is shared and processes are changed to support mutual goals.

Collaboration – when information is exchanged, processes changes, and responsibility and accountability is shared to support mutual goals.

Making these distinctions, and building them into the processes and practices of the organization, will be an important strategy in the implementation of the recommended structure and will aid in the transition to matrix relationships, which work for KCIT.

Building a successful matrix organization

To fully support the desired results, the development of excellent working relationships across functions and across Executive Branch IT will be critical. The exact form of the matrix organization, overlaid on the hierarchical structure, will develop more clearly during the transition planning, but the elements that will make it successful are clear:

- The different dimensions of the KCIT matrix organization, whether functional, operational, or project, have goals that are in alignment.

- There are clear guidelines and expectations about who is responsible for what.

- There are values and practices that foster constant and open communication across KCIT.

- The processes and practices that makeup the matrix relationship are deliberate and practiced, so that participants become comfortable with the sharing of responsibility and the tools for resolving problems together.

The ability to make effective change in the structure of the organization, and in how staff relate to and work with each other, requires a building of the management and leadership capacities that will support the structure, as described in Chapter 4. It will also require an understanding and acceptance that a transition period from the current structure and organizational culture to the new desired structure and culture is needed. The components of that transition are described in Chapter 5.

At the staff level, a conscious shift to a matrix structure, which ties the hierarchical structure together in new ways, will have greater opportunity for success if the following occurs:

- *Defining of expectations.* Staff who are not used to working across functional lines need to know what is expected in concrete and specific terms.

- *Conducting training.* Staff need opportunities to learn and practice new behaviors such as: communication skills, the skills to work on a team, negotiation and conflict resolution, or simply being able to identify who they need to coordinate with. This training needs to be ongoing and renewed.

- *Working across functions.* Many successful matrix organizations provide employees opportunities to work in other functional areas (or departments). This helps employees see the whole organization and its value, and breaks down the 'silo' mentality that is prevalent.

- *Building relationships.* To sustain a matrix organization, staff need to know each other – either in person or virtually. Informal networks of peers should be supported through social events, informal brown bag learning events, blogs, or other means, which cut across all dimensions of the organization. Research has shown that informal networks are more important than any formal network in furthering collaboration and coordination across an organization.

SECTION IV. COMPARISON TO PRINCIPLES

The principles and criteria for the organizational structure served as a guide to the development of the recommended structure. The following table compares the current structure of OIRM and IT services within the departments to the recommended structure, using the principles and criteria as the framework for comparison. It demonstrates the improvements that will be made through structural changes, including the development of matrix relationships and the importance of the work to be done through the implementation of the Organizational Capacity-Building Plan described in Chapter 4.

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Table 7
Comparison of the Current Structure & Recommended Structure
to the Guiding Principles and Criteria

Principle	*There will be clear and consistent reporting relationships and accountability for IT across the Executive Branch.*	*Current Structure*	*Recommended Structure*
Criteria	*The CIO is accountable for the cost-effective, secure, and forward thinking delivery of information technology across King County.*	The CIO is accountable on paper, but does not have the organizational structure or organizational capacities to fully support that role.	Yes, the lines of authority are clarified and the organizational capacity to support enterprise wide services is improved.
	IT SDMs have the leadership and oversight of all IT functions within their departments and are accountable for implementation of agreements between the CIO and the Department Directors, such as the Service Delivery Plans.	Only two of the Executive Branch Departments have all IT staff reporting to the IT SDM.	Yes, all IT staff in Executive Branch Departments report to an IT SDM.
	IT SDMs have a dual, but clear, reporting relationship to Central IT leadership and their Department leadership.	On paper, the SDMs have a direct reporting relationship to the CIO and a consultative relationship with Department Director. In practice, these relationships are blurred as the CIO has little time for direct supervision and coordination with the SDMs is through the Service Portfolio Manager. The SDMs often look to their Department Director for advice and consent related to needed decisions.	Yes, the SDMs report to a Deputy CIO whose portfolio is decentralized services and governance. This strengthens the supervision and support of those positions and IT provided by Departments. The consultative relationship to the Department Director remains.
	IT staff report to an IT supervisor or manager who provides guidance and support in their particular area of expertise.	Many departments have IT staff who are isolated from other IT staff and work within business units run by non-IT managers.	Yes
	IT is structured similarly across all Executive Branch Departments.	IT is structured differently in each Executive Branch Department.	Each departmental structure is aligned with the Central IT structure. Specific variations may occur, as developed through further discussions with Departments.

Principle	*The structure will support the development, retention, and effective use of IT management and staff.*	*Current Structure*	*Recommended Structure*
Criteria	*Staffing levels of standard IT maintenance and service functions are appropriate to the workload and needs of the business.*	Staffing levels across Departments vary for similar functions and demands, based on the funding available and competing Departmental priorities.	This criteria is not addressed in the Plan. Current staffing levels are assumed for the moment, with the understanding that during transitions, these will be considered to the extent possible.
	IT managers with direct reports at manager or supervisor level have no more than 5-8 direct reports.	Within OIRM, a number of managers have 10 or more direct reports, including the CIO who has 12 (excluding administrative support) and a senior manager who has 20. This is less of a problem within Departments.	No managers exceed the criteria, but a number have fewer than 5 direct reports. The CIO has 5 direct reports (compared to the current structure of 12).
	IT supervisors with staff level direct reports have no more than 12-15 direct reports.	There is considerable variability in the span of control, with the greatest variability lying in OIRM. The range is from 1 to 17.	All supervisors meet the criteria, but there remains considerable variability – from two direct reports to 15. An assumption is embedded that supervisors with few direct reports are 'working' supervisors – i.e. are involved in the direct work of the given area, not supervision or management alone.
	Employees are appropriately classified.	Anomalies exist in the classification of employees who perform IT or IT related work in Executive Branch Departments. .	This is a labor relation issues to be addressed as part of transition planning. (See Chapter 5.)

Principle	The structure will facilitate customer service.	Current Structure	Recommended Structure
Criteria	IT skills and/or tools used by a single department to support a service or process that only they provide or require remain within the domain of the department.	Yes	Yes – no changes are assumed.
	The Central IT organization is structured to align with customer requirements.	The structure is functionally aligned, and changes frequently to solve specific problems. Departments are not clear about the structure or functions.	Expands some services to customers, such as purchasing, training, and recruitment and uses the development of matrix relationships to strengthen the capacity of KCIT to respond to Department business requirements.

Principle	The structure will be flexible and adaptable to the changing and diverse business requirements of Departments and IT.	Current Structure	Recommended Structure
Criteria	The structure will support IT staff teamwork and partnership (within and across department boundaries) by taking into account matrix relationships and/or pairing those relationships with processes that delineate how collaboration will occur.	Structure is hierarchical and staff work in functional silos. Interaction between department IT and OIRM is little and based almost solely on personal relationships as opposed to established processes. The only clear matrix role is that of the Service Delivery Managers.	Creates functional divisions. Teamwork and partnership will need to be intentional and supported by strong values and processes.
	The structure supports technical innovation.	The structure works against innovation by being functionally and problem focused, rather than system and collaboration focused.	Has a technology planning role which supports evaluation of future needs. Does not have a focus on innovation, but through the matrix organization, can provide a platform for it.

ORGANIZATIONAL CAPACITY-BUILDING PLAN

Introduction to the capacity-building plan

Why do Change Initiatives So Often Fail?

The Executive Branch IT reorganization is intended to transform the way business is conducted and how IT services are designed and delivered within King County. It holds the promise of reducing costs, improving the quality of products and services, and creating exciting new opportunities for innovation, leadership, service, and partnership.

Notwithstanding its exciting promise, this is a large, complex undertaking; historically, similar endeavors within both the public and private sectors involving mergers, reorganizations, and IT system changes do not have a strong track record of success. Multiple studies reveal that despite the investment of millions of dollars and years of effort in developing and launching such projects, fewer than one-third actually succeed.

Why? More often than not, such change efforts focus almost entirely on the technical and/or structural factors surrounding change. Yet, countless studies show that the considerable failure rate of such major organizational change projects is primarily attributable to human, rather than technical, factors. ***Real change happens when people at all levels of the organization think and behave in significantly different ways. Changing the structure alone, without changing the culture, simply will not produce the desired results.***
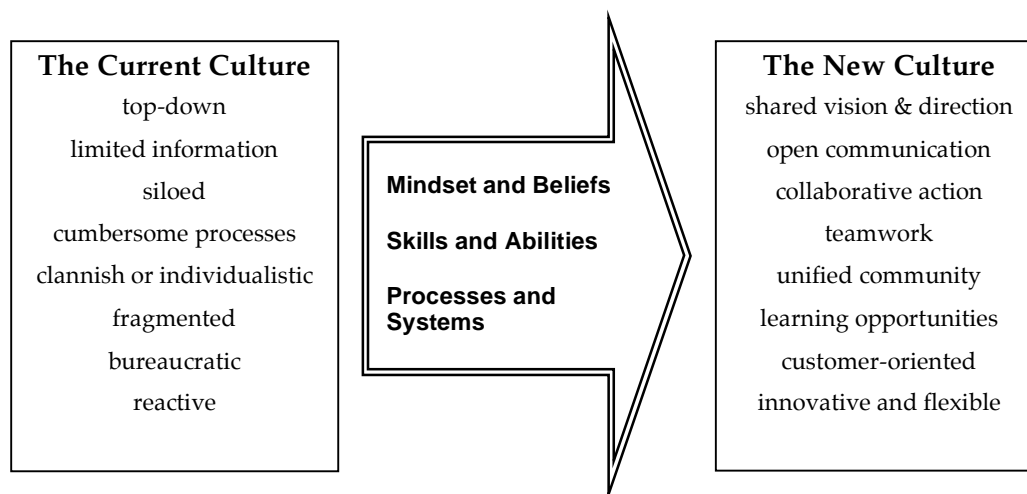
How is Capacity "Built"? A Multi-Faceted Approach

Building the capacity to take on new roles and challenges is not a one-dimensional process. It is not enough just to have a new mission statement, or a new title, or even new information. To move from the current structure and culture to a transformed culture will require major shifts and significant new learning across the whole organization in three critical and interrelated areas: mindset and beliefs; skills and abilities; and processes and practices.

Tackling any one of these areas alone, without addressing the others, will not get you to "the other side." Only an integrated approach to changing minds, expanding competencies, and re-shaping how work is done will allow the desired transformative movement from one state to another.

As illustrated in the following graphic, these three areas, together, form the bridge to the new culture.

Figure 4
Bridge from Current to New Culture

The Current Culture		The New Culture
top-down	Mindset and Beliefs	shared vision & direction
limited information		open communication
siloed	Skills and Abilities	collaborative action
cumbersome processes		teamwork
clannish or individualistic	Processes and Systems	unified community
fragmented		learning opportunities
bureaucratic		customer-oriented
reactive		innovative and flexible

Mindset and beliefs provide internal direction, the bone-deep, gut-level drive, passion, and commitment essential for making major changes. They must be aligned with the new organizational vision and values of customer service, partnership, inclusion, and learning.

Skills and abilities provide the critical competencies, tools, and confidence to advance the new mindset. Particular focus is needed on skills and abilities related to transition and change, teamwork, emotional intelligence, and interpersonal effectiveness.

Processes and practices operationalize the structure and culture, embed and give concrete evidence of the new culture while enhancing overall effectiveness. Focal areas must be those processes and systems which increase the capacity of the organization to manage complexity and diversity and thrive in the new reorganized state.

Assumptions About Learning that Leads to Change

The approach to capacity development put forward in this plan is built on a number of fundamental assumptions about how people (especially adults) learn and how culture becomes embedded in an organization. These include:

Meaningful, practical content. Adults are most strongly motivated to learn in order to cope with life-changing events. Once convinced the change is a certainty, adults will welcome learning that promises to help them successfully and more confidently cope with transition. Adults embrace learning when it has clear practical implications that builds on their prior experiences and can be immediately applied to their daily life.

Learning by doing. Adults need opportunities to try on new concepts and skills through active practice in their real-life contexts. For skills to become ingrained, they must be used, practiced, and reinforced daily.

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Reflection and dialogue. Transformative learning occurs when the practice of new behaviors is combined with opportunities for reflection and dialogue – two meta skills that have been connected to development of high performance leaders. Opportunities to think through one's own experience and talk it through with others are critical features of transformative learning processes.

Cohort and community. Undertaking transformative learning requires: a safe, supportive learning environment with no judgment; permission to make mistakes; and the freedom to experiment. New mindsets and skills must be modeled and reinforced throughout the culture – what gets rewarded and modeled by influential people gets learned.

For these reasons, the emphasis in this plan is on events and formats in which all participants play an active role, in which there are opportunities to have meaningful input into the subjects at hand, in which opportunities are created to immediately put learning into practice, and in which reflection and dialogue play a pivotal role. ***In short, the emphasis is on active and iterative learning experiences, rather than the more passive (and far less effective) model of single-shot delivery of "trainings."***

Content areas for capacity-building

What Capacities are Needed?

Seven core capacities are called out in the findings as the focal points for improvement and as key success factors for the reorganization. These seven capacities include:

- Partner effectively with Executive Branch departments.
- Deliver significantly enhanced customer service.
- Move past OIRM/ITS merger history.
- Communicate effectively with internal and external stakeholders.
- Learn effectively through involvement and engagement of internal and external stakeholders.
- Lead and manage in an environment of continuous change and transition.
- Lead and manage for organizational effectiveness.

None of these capacities have to do with purely technical skills. All relate to building capacity in the "soft" skill areas of leadership, communication, collaboration, conflict management, customer service, partnership and leading, and managing the human side of transition and change.

Content Areas for Learning

Table 8 on the following pages provides an overview of the learning topic areas needed to build the seven core capacities and anchor them in the culture. Each of the 12 mindset and skill topic areas presented in the second column of Table 8 is linked to the development of a specific core capacity which it most strongly

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supports. It must be underscored, however, that there is a significant relationship and interdependency among the capacities to be developed. Strengthening one capacity will have implications for enhancement of other core capacities as well.

Table 8
What Beliefs, Mindsets, and Skills are Needed to Build the Seven Core Capacities in the KCIT Organization?

Capacity	Mindsets, Skills, and Processes	Who?
1. Partner effectively with Executive Branch departments	**1A. Shared ownership of the vision for change** • Define shared vision, values, and norms. • Understand what the comprehensive assessment reveals about the current reality and what needs to change. • Identify the mindsets, skills, and processes necessary to support transformation. • Own the personal implications… what new mindset and behaviors will be required of me? (as a leader, a manager, a staff person). **1B. Commitment to Effective Leadership of Change** • Recognize and embrace, individually and collectively, the critical role the Senior Team plays in facilitating change. • Examine current functioning as a Senior Team, and the implications for effectively leading and managing the change effort. *See also 2A, 4A, 5A, 6C*	**Senior Managers** **All supervisors and managers** **All staff** **Senior Managers**
2. Deliver significantly enhanced customer service	**2A. Leading and Managing for IT Customer Service** • Define practices that facilitate customer support and partnership. • Develop a customer service mindset. • Listen to customer needs. • Create processes that facilitate results. • Manage for continuous improvement. **2B. Customer Service Mindsets, Skills, and Processes** • Define staff-level mindsets and practices linked to customer service. • Acknowledge existing areas of excellence. • Create a change agenda for consistent, high quality customer service delivery. • Individual and team commitments to change agenda.	**Senior Managers** **Supervisors and managers** **All staff**
3. Move past OIRM/ITS merger history	**3A. Letting go of the Past** • Openly acknowledge the incomplete merger, presence of two cultures, absence of a shared identify, and the impact on people and the current environment. • Provide opportunities to express concerns, name losses, and let go of the past. • Express appreciation for what each brings to the new organization. • Collaboratively create a new identity which merges the best of both. • Clarify commitments and processes for keeping the new identity alive.	**Senior Managers** **OIRM supervisors and managers** **OIRM staff**

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Capacity	Mindsets, Skills, and Processes	Who?
4. Communicate effectively with internal and external stakeholders	**4A. Leadership and Communication Styles** • Understand individual differences in styles. • Recognize your own style… strengths and blind spots. • Implications of style differences for communication, teamwork, and results. • Implications for learning and change in the new culture. • Develop style flexibility to maximize individual, team, and organizational effectiveness. **4B. Collaborative Communication Skills and Practices** • Work successfully in a matrix. • Beliefs, principles and practices for collaborative leadership. • Shift from unilateral control to mutual learning. • Advocacy and inquiry skills. • Practices which enhance learning and build trust. **4C. Enhancing Open Communication and Effective Feedback** • Give and receiving feedback constructively. • Solicit helpful feedback. • Handle criticism. • Dealing with defensiveness. • Adopting an 'Ownership' versus 'Victim' mindset. **4D. Collaborative Negotiation of Differences** • Expand dialogue and skillful discussion tools and competencies. • Five styles for managing conflict and implications of each. • Transcend the conditions that give rise to adversarial relationships. • Use conflict to negotiate positive change rather than generate polarized relationships. • Learn an interest-based negotiation process to co-create mutually satisfying outcomes. • Engage in difficult conversations. *See also 5A, 7B*	**Senior Managers** **Senior Managers** **Supervisors and managers** **Senior Managers** **Supervisors and managers** **Senior Managers** **Supervisors and managers**
5. Learn effectively through involvement and engagement of internal and external stakeholders	**5A. Designing and Implementing Effective Stakeholder Involvement Strategies** • Key considerations in planning stakeholder engagement. • Align involvement strategy with intended results. • Make effective use of stakeholder input. • Communicate results. *See also 4A, 4B, 7B*	**Senior Managers**

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Capacity	Mindsets, Skills, and Processes	Who?
6. Lead and manage in an environment of continuous change and transition	**6A. Managing in the Middle of Change** • Recognize the powerful emotions and predictable dynamics experienced during major change initiatives. • Understand the difference between change and transition. • Implementation strategies for structure and culture change. • Tools for monitoring the change process. • Leadership roles during transition. • Provide structure and direction. • Provide support that reduces resistance. • Encourage participation, ownership, and engagement. **6B. Leading and Managing Complexity and Diversity** • Acknowledge the realities of perpetual change. • Manage during turbulence and ambiguity. • Manage within a matrix organization. • Plan for a predictably uncertain future. • Work creatively with ever-increasing complexity. • Become more flexible and resilient.	**Senior Managers** **Supervisors and managers** **Senior Managers**
7. Lead and manage for organizational effectiveness	**7A. Process Improvement Priorities and Practices** • Identify process change priorities. • Define communication and decision-making practices for process improvement teams. • Refine collaboration skills. • Orient to Rapid Response team missions. • Define Workplans and Working Agreements. **7B. Enhancing Effectiveness of Individuals and teams** • Decision-making practices. • Deepen individual-level skills in areas of greatest challenge. *All of the previous mindset and skill areas apply to building this capacity.*	**Senior Managers** **Rapid Response Process Improvement Team Members** **Senior Managers** **Supervisors and managers**

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Implementation of a capacity-building program

The preceding Table 8 identifies *what* skills, beliefs, and processes need to be developed. In this section, we look at *how* that development might occur, including factors such as:

- How and when will the content be delivered?

- What will be the level of involvement of different groups of participants?

- What kind of time commitment will be required?

Approach to Delivery: Three Intersecting Tracks

To effectively and efficiently implement the development program and maximize the desired results of learning, growth, and change, the following principles guide the proposed approach to delivery:

- develop phases to allow learners to build new mindsets and skills over time

- impart a shared language and core skills to be held in common by all leaders, managers, and staff

- tailor the scope, depth, and intensity of development activities to the roles and needs of the specific groups.

The exact schedule for delivery of the training and development is still to be determined and will be in alignment with the overall transition process. Every effort will be made to stage the training and development events so that they support and build on other activities within the transition period.

The capacity-building program for leaders, managers, and staff will be packaged in three "learning tracks:"

Track 1. Leadership and Management Development

Track 2. Staff Training

Track 3. Rapid Response Process Improvement Teams

These three tracks will unfold simultaneously, and will intersect at key points. They are described below with suggested stages of delivery to address critical capacities first.

The Leadership and Management Development Track

Purpose

Although there is need for enhanced capacity at all levels of the organization, the first priority must be with leadership and management. A major obstacle to change readiness revealed by the findings is an overall lack of confidence in OIRM's capacity to manage large scale change projects. The findings further revealed that the Senior Management Team is widely perceived as lacking internal cohesiveness

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as a leadership group; is not seen as functioning from a shared, unified vision; nor is the team experienced by others as operating in an open, inclusive, and collaborative manner.

A critical first step in creating a solid platform for change is ensuring that Senior Managers have the commitment and the capacity to lead the change process. Making this commitment to lead change begins with a full understanding of the desired results of the changes, and a personal and team reckoning with the implications of this change. In addition, this group must adopt a shared vision, values, mindset, and norms for communicating, decision-making, building trust, and working together as an effective Senior Management Team.

Managers and supervisors throughout the KCIT organization must also share ownership of those same values, mindsets, and practices. All KCIT supervisors and managers play a pivotal role as leaders of the change initiatives; they must send clear and consistent messages about expectations to the rest of the organization through their words and their actions. ***If leaders, managers, and supervisors do not "walk the talk," no list of values and norms, inspirational talks, or exhortations will lead to broad based sustainable culture change.***

Who is involved?

- Senior Managers
- OIRM supervisors and managers
- KCIT supervisors and managers

Objectives

In the first stage of capacity building, the emphasis in this track is on:

- Creating a strong and cohesive Senior Management Team prepared to lead structural and cultural change as well as an effective customer service- driven organization.

- Creating an opportunity for OIRM managers and supervisors to let go of past history of prior mergers, and embrace a shared identity as leaders of the structure and culture change initiative.

- Ensuring that all supervisors and managers have shared ownership of the values and practices of the new structure and culture.

- Ensuring that all leaders, managers, and supervisors have identified the skills they personally will need to develop to successfully embody the mindsets and practices aligned with the desired culture.

- Generating a baseline of information about current skills and impacts possibly through a 360° assessment process or with the use of other tools.

In the second stage of capacity building, the emphasis in this track is on:

- Team-level work to strengthen the capacity of the Senior Management Team to work together effectively to lead change, make decisions, collaborate, and communicate effectively.

- Individual-level work with leaders, managers, and supervisors to build capacity in specific skill areas identified through the 360° assessment process.

Approach

The Leadership and Management Development Track includes seven different components:

- Six, 6-8 hour workshops designed for Senior Managers only, delivered over a two-year period).

- One, 4 hour workshop for OIRM managers and supervisors only.

- One, 4 hour workshop for all managers and supervisors.

- Two, 4 hour workshops for Senior Managers and all managers and supervisors.

- An assessment of the skills and behaviors of Senior Managers

- An assessment of the skills and behaviors of all KCIT managers and supervisors, following that of senior managers.

- Individual leadership and management coaching as needed.

OIRM managers and supervisors will not typically be separated out as a cohort group, distinct from other KCIT managers and supervisors. However, in the early transition phase, it is important to address the specific history of this group in relation to the OIRM/ITS merger. The desired structural and cultural changes cannot successfully take root without reconciliation between the two cultures and resolution of the strong negative emotions associated with the merger history. The emphasis in this session is to create a foundation for this group to take leadership roles in the KCIT organization and become champions of the system-wide change vision.

The Staff Training Track

The focus of the Staff Training Track is on facilitating staff development of the critical new mindsets, skills, and competencies associated with the new structure and culture. What we know about successful change shows that unless people understand and personally own what is needed, thus adopting a basic mindset and beliefs aligned with the proposed new culture, all the training and development in the world will not produce the behaviors necessary to make the culture a reality.

Who is Involved?

- OIRM staff
- KCIT staff

Objectives

In the first stage of capacity building, the emphasis in the Staff Training Track is to:

- Reinforce shared understanding of the desired results and benefits of structural and culture change.

- Establish shared understanding of the core values and associated staff behaviors in a customer-service driven IT culture.

- Build shared membership and identity with the larger KCIT organization.

- Offer opportunities to impact the process improvement processes.

- Build capacity to work effectively in a matrix organization.

In the second stage of capacity building, the emphasis in this track is on:

- Deepening culture of service mindsets and refining communication and collaboration practices and processes related to effective functioning in a matrix organization.

- Specific focal areas for 2009 will be defined through the check-in with KCIT staff in the November 2008 session.

Approach

- One, 4-hour workshop delivered to Enterprise IT staff only.

- Two, 4-hour workshops delivered to KCIT staff. Each workshop will be delivered in multiple sessions, to accommodate the large numbers of staff. Timing of the workshop sessions will be adapted so that the first workshops occur after department staff have had an initial exposure to their departments' transition plan.

- Additional staff training sessions to be determined through the assessment late in the first stage of capacity-building.

Similar to OIRM managers, OIRM staff will not typically be separated out as a cohort group, distinct from other staff in the KCIT system. As with the OIRM supervisors and managers, however, this group has a specific history in relation to the OIRM/ITS merger, which is likely to impede their readiness to embrace additional structural and cultural change. The emphasis in this session is to create a foundation for this group to embrace full membership in the KCIT organization and become champions of the system-wide change vision.

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The Rapid Response Process Improvement Track

Another major component of the Capacity-Building Plan is the development of systems and processes that embed the desired results and needed culture changes into the core practices of the organization. One successful method for instituting key system or process changes is called the 'rapid response team' model.

Approach: 'Rapid Response' Process Improvement Teams

The function of a 'Rapid Response Team' is to assess a process improvement opportunity, develop options for improvement, and recommend a new course of action on the basis of their work.

Whether focusing on an emerging issue or situational challenge or systematically tackling process improvements for the organization, a Rapid Response Team is created to quickly address the needs of the issue or process and outline a direction that will achieve the desired results. The table below outlines how the Rapid Response Model will be employed in the KCIT context.

Table 9
The Rapid Response Model and KCIT

Who is involved?	A member of the Senior Leadership Team directs and coordinates the rapid response efforts. This person acts as the 'project manager' for rapid response efforts. The team membership should not be limited to leaders, managers and supervisors but may draw on particular expertise from persons deep within the organization, who could contribute to designing an effective approach to a situation or developing a new process. A rapid response team is ideally somewhere between 6 and 10 people depending upon the nature and complexity of the issue.
What is the focus?	A profile of the situation or process is developed. The Rapid Response leader presents the profile to the Senior Management Team with a set of recommendations about who are the best people within the organization to serve on the team. The Senior Leadership Team refines and approves the charge and composition of the Rapid Response Team.
How does the Team work?	Each Rapid Response Team engages in a sequence of activities that fall into three stages: 1. Assess the situation or process improvement opportunity. 2. Explore alternative approaches to dealing with the situation or implementing a process improvement. 3. Develop a recommendation that addresses the situation or implements the process improvement.
How long does the 'Rapid Response' last?	The 'ideal' Rapid Response team does its work over a span of 1-3 months. The focus is on dealing with an issue or process in a rapid manner, achieving results quickly.

Which Processes and Systems Should Be Addressed?

In the course of the comprehensive assessment, participants were asked 'Are there either structural or process changes that would help you do your job better or more easily?' The answers surfaced an array of wide-ranging suggestions for system changes and process improvement opportunities. Examples include:

- simplification of the PRB processes to make them less onerous while continuing the important oversight role

- standardization of the service desk platform and procedures

- implementation of new meeting and decision-making protocols to improve their effectiveness

- establishment of an enterprise application portfolio

- improvement of the application release processes when they become operational

- improved communication between the CIO and Department Directors

- improved recruitment and hiring processes for IT staff.

The consulting team understands these suggestions to be a starter list of system and process improvement opportunities for the leadership and management to consider. It is assumed that an element of the KCIT transition planning process will focus upon the identification and prioritization of a more complete list of systems and processes to change during the reorganization.

Assessment of capacity-building and planning for the second stage of capacity building

At the end of the first stage of capacity building, it will be important to check in with each of the three tracks, and assess how best to tailor the second stage to the specific needs of the different cohort groups. The assessments should also create a baseline of data, which can be used to benchmark successes going forward.

Given the different natures of the structure and content of the three tracks, a separate assessment process is proposed for each. The assessment tools and processes are outlined in the following table, and described in more detail in the narrative that follows.

Table 10
Assessment Tools

Track	Assessment Tool or Process
Leadership and Management Development Track	The use of a 360° Assessment or other tool, followed by a workshop session to identify priority development areas for the second stage of capacity building, and individual coaching sessions as needed.
Staff Training Track	KCIT Staff Needs Assessment, delivered in an all staff workshop in late in the first stage of capacity building.
Rapid Response Process Improvement Track	Progress reports by functional teams as well as online opportunities for all staff to provide input about 2009 Process Improvement opportunities.

Assessing the Leadership and Management Development Track

Since leadership behaviors and practices which are aligned with the desired new culture are crucial to the success of the reorganization, assessing management effectiveness is an essential component of a monitoring and measurement plan.

A 360° process is one excellent tool for promoting self-awareness and providing the organization and individual leaders with personalized feedback regarding their behavior and impact. A 360° review is a feedback system that provides managers and executives with in-depth insights into their leadership strategies and the impact of those strategies on the behavior and performance of others. Such information is vital for continued leadership growth and development, and as an aid for focusing efforts to adapt and strengthen the capacity-building plan. Other assessment tools can also be used and the approach selected should be in alignment with the existing Human Resources performance review processes. The selected process should also allow for annual measurement using the same tool against the baseline results.

Assessing the Staff Training Track

At the second KCIT staff training session, all participants will have the opportunity to complete a needs assessment questionnaire. The needs assessment will provide data on which elements of the training sessions have had the greatest impact to date, and will pinpoint the mindsets, skills, and/or processes to focus staff learning in the second stage of capacity building.

Assessing the Rapid Response Process Improvement Track

Rapid Response team leaders will deliver progress reports to Enterprise IT Senior Managers and to KCIT staff in their second training session. Process Improvement Team members may also wish to participate in those presentations.

The Team presentations to Enterprise IT Senior Managers should be accompanied by recommendations for focal areas and suggestions for rapid response process refinements in the next stage of capacity building. The presentations to KCIT staff will offer a more general orientation to the process improvement projects.

In addition, all staff will have an opportunity to submit online suggestions for process improvement focus areas.

Capacity-building program summary and timeline

Table 11 offers a summary view of the capacity building program as it rolls out over time. Additional events will be added based on the assessment at the end of the first stage of capacity building The specific timeframes are to be determined during transition planning, but the general approach is to focus first on the development of the senior management team, then the development of managers and supervisors, and staff development does not begin until transition plans for the given departments are in place.

Table 11
Capacity Building Program Summary and Timeline

TIMEFRAME	TRACK	COHORT GROUP	FORMAT	EVENT	CONTENT AREAS *(See Table 7 for details)*
Stage One - Timing To be Determined	LEADERSHIP AND MANAGEMENT DEVELOPMENT	KCIT Senior Managers	Two workshops, 6-8 hours each	*Leading IT Culture and Structure Change*	1A Shared Ownership of the Vision for Change 1B Commitment to Effective Leadership of Change 2A Leading and Managing for IT Customer Service 3A Letting Go of the Past 6A Managing in the Middle of Change
		OIRM Supervisors and Managers	1 workshop, 4 hours	*Managing and Supervising a Customer-Service Driven Organization*	1A Shared Ownership of the Vision for Change 2A Leading and Managing for IT Customer Service 3A Letting Go of the Past 6A Managing in the Middle of Change
	LEADERSHIP AND MANAGEMENT DEVELOPMENT	All KCIT Supervisors and Managers	1 workshop, 4 hours delivered 2 or more times, approx. 30-50 people per session Delivery follows staff exposure to initial transition plans	*Forging Effective Partnerships*	1A Shared Ownership of the Vision for Change 2A Leading and Managing for IT Customer Service 3A Letting Go of the Past
	STAFF TRAINING	OIRM Staff	1 workshop, 4 hours	*Becoming leaders in customer service*	1A Shared Ownership of the Vision for Change 2B Customer Service Mindsets, Skills, and Processes 3A Letting Go of the Past
	PROCESS IMPROVEMENT	Senior Managers	1 workshop, 4 hours	*Defining Process Improvement Priorities and Practices*	7A Process Improvement Priorities and Practices

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TIMEFRAME	TRACK	COHORT GROUP	FORMAT	EVENT	CONTENT AREAS *(See Table 7 for details)*
Stage One – Timing to Determined	PROCESS IMPROVEMENT	Senior Managers *and* Rapid Response Team Leaders and Members	1 workshop, 4 hours	*Orientation to Process Improvement Work Teams*	7A Process Improvement Priorities and Practices
	STAFF TRAINING	KCIT Staff	1 workshop, 4 hours Delivered 4 times, 100 people per session	*Shared Vision, New Identity*	1A Shared Ownership of the Vision for Change 2B Customer Service Mindsets, Skills, and Processes 3A Letting Go of the Past
	LEADERSHIP AND MANAGEMENT DEVELOPMENT	Senior Managers	1 workshop, 6 hours	*Leadership and Communication Styles*	4A Leadership and Communication Styles
	LEADERSHIP AND MANAGEMENT DEVELOPMENT	Senior Managers *and* KCIT Supervisors and Managers	1 workshop, 4 hours Delivered 2 or more times, approx. 30-50 people per session	*Collaborative Leadership and Management Skills – Part 1*	4B Collaborative Communication Skills and Practices
	LEADERSHIP AND MANAGEMENT DEVELOPMENT	Enterprise IT Senior Managers *and* All KCIT Supervisors and Managers	1 workshop, 4 hours Delivered 2 or more times, approx. 30-50 people per session	*Collaborative Leadership and Management Skills – Part 2*	4C Enhancing Open Communication, and Effective Feedback 4D Collaborative Negotiation of Differences

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Timeframe	Track	Cohort Group	Format	Event	Content Areas (See Table 7 for details)
Stage One – Timing to be Determined	Staff Training	All Staff	1 workshop, 4 hours Delivered 4 times, 100 people per session	*Working Effectively in a Matrix Organization*	2B Customer Service Mindsets, Skills, and Processes (continued) 4B Collaborative Communication Skills and Practices 7A Process Improvement Priorities and Practices (updates to Staff by Process Improvement Teams) Staff Needs Assessment Delivered
	Process Improvement	Process Improvement Team Leaders	5 presentations by Team Leaders of 15 min-30 min each (1 presentation to leadership; 4 presentations to All Staff groups *see above)*	*Progress Reports*	Process Improvement Track Assessment = Progress Reports from all Teams to Leadership and All Staff All staff have online opportunity to suggest focal areas for Process Improvement work.
	Leadership and Management Development	Senior Managers	1 orientation session, 2-3 hours to introduce Senior Managers to tool Communication with all assessment participants	*Assessment Orientation and Delivery*	Orientation Assessment Tool and Tool implemented
	Leadership and Management Development	Senior Managers	1 workshop, 6-8 hours	*Assessment Results and Implications*	6A Managing in the Middle of Change Examine current effectiveness of Senior Management team, Identify team strengths and assess team needs. Define focus areas for capacity-building in 2009. 1B (Re)Commitment to Effective Leadership of Change
	Leadership and Management Development	All Managers and Supervisors	1 orientation session, 2-3 hours to introduce Managers and Supervisors to tool Communication with all assessment participants	*Assessment Orientation and Delivery*	Orientation to Assessment Tool and Tool implemented

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Timeframe	Track	Cohort Group	Format	Event	Content Areas (See Table 7 for details)
	Process Improvement track	Senior Managers	1 meeting, 2-3 hours	*Launch Process Improvement for 2009*	Review Process Improvement Progress Reports and results of online suggestions. Define Process Improvement priorities in 2009. Refine Process Improvement processes as needed.
Stage Two – Timing to be Determined	Leadership and Management Development	All Managers and Supervisors	1 workshop, 4 hours Delivered 2 or more times, approx. 30-50 people per session	*Assessment Results and Implications*	6A Managing in the Middle of Change Examine current effectiveness of managers and supervisors, Identify team strengths and assess team needs. Define focus areas for additional capacity-building.
	Staff Training	All Staff	1 workshop, 4 hours delivered 4 times, 100 people per session	*Strengthening skill at working in a Matrix Organization*	2B Customer Service Mindsets, Skills, and Processes (continued, level 2) 4B Collaborative Communication Skills and Practices (continued, level 2)
	Leadership and Management Development	Senior Managers	1 workshop, 6-8 hours	*Strengthening Skills in Leading Change in Complex Organization*	6B Leading and Managing Complexity and Diversity 4D Collaborative Negotiation of Differences Engaging in difficult conversations
	Leadership and Management Development	Senior Managers	1 workshop, 6-8 hours	*Strengthening Skills in Engaging Stakeholders*	5A Designing and Implementing Effective Stakeholder Involvement Strategies
	Leadership and Management Development	Senior Managers *and* Supervisors and Managers	Targeted coaching	*Continued Individual and Team Development*	7B Enhance Effectiveness of Individuals and Teams
	Process Improvement	Senior Managers and Team Leaders and Team members	Ongoing Process Improvement work	*Continued Process Improvement Team work*	Ongoing work in functional teams. Progress reports as defined in team workplans.

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TRANSITION PLAN FRAMEWORK

Why transition planning?

Transition planning is an essential element of the successful reorganization of IT functions across the Executive Branch of King County Government. While 'change' is the desired end state, 'transition' is how you get there. The definition for transition is 'passage from one form, state, style, or place to another.' Since the reorganization of IT functions suggests change in form, state, style, and place, planning for effective transition is critical. The transition planning process is intended to manage the details of moving from the current state to the reorganized state in order to achieve the desired results.

Critical success factors

The critical success factors outlined below are intended to focus attention on those elements of transition which matter most. These factors are drawn from both the findings of the comprehensive assessment and current research into the defining characteristics of successful change initiatives. The presence of these factors will significantly improve the likelihood of a successful change initiative, and conversely, the absence of any of these critical factors will have a significant negative impact on the reorganization process.

Critical Success Factors Before Transition Implementation

Leaders are Fully On Board

- Senior Managers understand and commit to their role as change leaders.

- Each Department Director in the Executive Branch accepts the plan.

- Senior Managers take full ownership of the desired results of structural and cultural change and are prepared to anticipate all stages of transition.

- Senior Managers are engaged in championing the shift from the old image of central IT/OIRM to the new vision of one KCIT organization which delivers both Enterprise and Decentralized IT services.

History is Behind Us

- All OIRM supervisors, managers, and staff members have an opportunity to let go of issues related to the OIRM/ITS merger history and to embrace their role as change leaders within the reorganized KCIT system.

Plans are In Place

- A clear, complete, and well-executed communication plan is in place that includes a set of vehicles for ongoing communication about the reorganization.

- Each given department has participated in the development of their transition plan and is ready to begin implementation.

- A capacity-building plan is in place, which outlines how all levels of the organization will build the mindsets and skills needed in the new KCIT.

- The JLMITC is engaged during the planning and transition.

- Measures and benchmarks are defined as part of the benefit realization plan.

Critical Success Factors During Transition Implementation

Leaders, Managers, and Supervisors Act with the End in Mind

- Despite ambiguity and political pressures, leadership and management stay focused on the desired results for the reorganization.

- Leaders, managers, and supervisors provide support and direction and work skillfully to reduce resistance.

- Leadership and management apply enhanced skills in communication and collaboration and act in an open and transparent manner.

- Leaders, managers, and supervisors have defined the core values associated with the new culture, have identified a related set of communication practices, and are beginning to actively align their behaviors with those values.

- All KCIT employees are treated with respect and fairness during the transition.

Understanding of Impacts Deepens and Widens

- All KCIT employees understand how King County and they themselves will benefit from the reorganization, know what the steps in the transition process are, and can name the key indicators of progress.

- KCIT employees are learning about the mindsets and skills needed to function effectively within a matrix organization.

- JLMITC continues to be informed and engaged in forging effective transition implementation.

Change is Visible and Tangible

- Process improvements have been identified and initiated.

- Senior managers demonstrate, model, and practice skills as change leaders in a matrix organization such as reinforcing the vision, maintaining a sense of urgency, sharing information widely and frequently, fostering dialogue, enabling action, and recognizing successes.

- Cross-departmental relationships are being developed through a variety of informal and formal mechanisms, e.g. training, process improvement, and information sharing.

- Evaluation, assessment, and measurement processes are ongoing and results are widely communicated.

Approach to transition implementation

The transition planning process across the Executive Branch will occur in three stages:

- Pre-transition planning and stage setting – March through May 2008.

- Transition planning – March through September 2008.

- Transition implementation – June 2008 through May 2009.

Transition planning will address the following elements, described below in more detail:

- roles and responsibilities

- human resources

- labor/management

- communication

- organizational capacity building

- leadership and management

- staff

- systems and processes.

Enterprise IT will develop a comprehensive transition plan that will address all of the transition elements listed above with a special focus on communication and organizational capacity for all of the Executive Branch.

Individual department transition plans will focus attention on roles and responsibilities, human resources and the labor/management elements. Each transition plan will be developed in the form of a work plan with a set of activities, responsibilities assigned for each activity, and a detailed timetable for each element of the transition plan. The level of effort for transition will vary by Department as they are currently in different stages of reorganization.

Transition plan elements

Changes in Roles and Responsibilities

The transition plan will include changes in positions, reporting relationships and matrix relationships, and budget for each department. Each department will work out a transition timetable for changes in roles and responsibilities that addresses the particular human resource and labor management realities.

Human Resources

Increasing the capacity of the KCIT organization to provide human resources support to the Executive Branch will be an early priority during the transition. Other top priority human resource issues for the transition include:

- add matrix coordination function
- reduce anomalies in classifications.

Labor/Management

The Joint Labor Management Information Technology Committee will continue to play a key role in guiding resolution of labor/management issues related to IT reorganization. The goal is to be fair, consistent and to make the transition process manageable. The key issues to be addressed over a period of several years include:

- a universal definition of what constitutes IT work and the bodies of work within that
- a review of the IT job classifications and compensation to assure alignment with the definition
- standardization of supervisory practices.

Communication Plan

The Enterprise IT organization will be responsible for creating an overall communication plan for the pre-transition and transition process that directs itself to all stakeholders either within or related to the Executive Branch Reorganization. The communication plan will include a stakeholder analysis, identification of communication vehicles, and a specific plan for communication with each stakeholder group. The major stakeholder groups include:

- elected officials
- department leadership within each of the seven departments
- members of the King County Joint Labor Management Information Technology Committee.
- IT managers and staff across the Executive Branch
- other managers and staff across and within each of the seven departments (core messaging may be the same for each department but

the specifics about the transition process will vary based on the situation and needs of that department)

Leadership and Management Capacity-Building

The leadership and management development track of the organizational capacity-building plan will support the ability of KCIT management to successfully lead and manage the transition to the new structure and culture. It is a critical part of transition and will be taken into account in the work plans.

The emphasis of the activities in this track (detailed in Chapter 4) is ensuring that leaders and managers have the mindsets and skills needed to:

- lead the structure and culture change initiatives
- communicate effectively with internal and external stakeholders
- partner effectively across the KCIT system
- manage for organizational effectiveness
- manage in a customer-service-driven culture.

Systems and Processes

The process improvement track of the organizational capacity-building plan (detailed in Chapter 4) will support the transition process by creating Rapid Response Process Improvement Teams to develop and implement the process changes needed to accomplish the desired results of the reorganization. Working within a consistent framework, these teams will be overseen by Senior Managers, and will include leaders and members from across KCIT. All staff will have opportunities to make suggestions for focus areas of process change, and Senior Managers will set priorities for process improvement. As process changes are defined, clear communication about associated changes in forms, practices, or activities should accompany their implementation.

Transition plan process recommendations

A series of process recommendations will assure the success of the transition planning process. They are:

- Clarify and confirm project management responsibility within the Enterprise IT organization for all aspects of transition and implementation of the KCIT reorganization.
- Hold kickoff meetings for all KCIT staff that provides an overview of the recommended structure and leadership and management plan, with a clear delineation of expected activities and timeframes for the transition.
- Provide a mechanism for staff feedback about the transition.
- Form department specific transition teams of the IT Service Delivery Managers, IT managers, and staff to guide the development, implementation, and monitoring of the transition plan. The transition team within each department will:
    - lead the development of each element of the transition plan

SLR

- develop a mechanism for online review of the transition plan by department staff
- revise the transition plan based on online feedback
- finalize the plan with appropriate sign-offs within the Department and Enterprise IT
- monitor the plan based upon defined protocol.

- Identify the 'low hanging fruit' of system and process change, forming 'Rapid Response Teams' to take charge of rapid implementation of visible changes that make a difference to customers.

- Update transition plans on a regular basis to reflect any changes and to expand upon the details of upcoming elements and activities within each plan.

- Develop and integrate evaluation and monitoring into transition planning.

BENEFITS REALIZATION PLAN FRAMEWORK

Overview of benefits realization

All across the Executive Branch, from within and outside of OIRM, and from all levels of the hierarchy, participants in the comprehensive assessment repeated a constant refrain: "A critical factor in the success of the reorganization effort will be the ability to measure the impacts of the changes."

A Benefits Realization Plan is a tool for measuring progress by linking the Desired Results (Benefits) and the strategies and initiatives that are intended to move the organizations towards those results, to measures with specific targets or benchmarks.

The purpose of measuring progress is to learn, on a continual basis, whether the organization is doing the right things and doing things right. SLR recommends that the Benefits Realization Plan be used as the foundation for what is called "formative evaluation." This is an evaluation process that provides feedback while changes are being made, and supports modification of chosen strategies based on what is learned. The purpose is to learn, not punish, and to support rapid change.

A proposed framework

Desired Results, Core Strategies, and Initiatives

In Table 3, in Chapter 2, Summary of Findings, we presented a matrix linking each of the Executive and Council's desired results to a set of core strategies suggested by the findings. This provides the basic structure for the Benefits Realization Plan. The framework offered in Table 12, on the following pages, adds a way to capture the initiatives that will implement the strategies and how progress will be measured.

For the purposes of the Benefits Realization Plan, the following definitions are used:

Desired Results – The Executive and Council Goals for the IT reorganization, which were developed with the input and support of the Executive Branch Departments.

Core Strategies – The major approaches or actions, delineated through the assessment process, which are recommended and will lead to the Desired Results.

Initiatives – The specific actions needed to implement the strategies.

The initiatives are a preliminary list and are expected to be refined through further dialogue with IT and departmental leadership.

This format enables KCIT to expand the Benefits Realization Plan over time to include other aspects of the reorganization such as the server consolidation or addressing the IT issues of the separately elected departments.

Measures and Targets

Measuring the benefit of the reorganization is ultimately measuring whether the desired results are achieved. Along the way, different types of measures are needed:

- Was an action undertaken and completed?
- What were the interim outputs or outcomes?
- What is the progress to the desired result?

It is proposed that a set of simple measures be developed for each desired result that reflect either interim outcomes or benchmarks of progress for the desired result. Baseline information will need to be collected for these measures and an ongoing monitoring process and accountability developed.

Monitoring of whether specific actions are undertaken should be tied to the transition work plans and the tools and approach for monitoring that is not reflected in this template.

It is important to note that this framework does NOT push for an individual measure and target for each individual initiative. Creating an unwieldy and overcomplicated set of measures is a common mistake that organizations make – one that can lead to far more problems than it solves.

Accountability

A critical feature of a successful benefits realization plan will be a clear assignment of ownership of the monitoring process associated with each measure. It is not essential that a single monitor is accountable for all measures, but it is crucial to identify an owner of each measure or group of measures.

Refinement of the Plan, including confirmation of the strategies and initiatives, establishment of appropriate measures, and delineation of 'ownership' will occur concurrently with the development of the transition plans.

Table 12
Benefits Realization Plan
Preliminary Framework

Enhance Customer Service		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**
1. Deliver responsive service to internal customers, the public, and other jurisdictions.	a. Increase clarity and accessibility of services. b. Create a culture of responsiveness, including new mindsets, practices, and processes. c. Build culture of clear, direct, timely, and respectful communication. d. Support the ability of IT across the Executive Branch to respond to the unique business requirements of Departments and their stakeholders. e. Enhance the linkage between business development and IT development.	• Address the voiced needs for OIRM to provide more administrative support functions such as centralized procurement or staff recruitment. • Expand capacity of OIRM to provide consultation in systems and application development to other County organizations. • Expand the capacity of IT to support business process analysis. • Develop a service portfolio and catalogue, including a consistent approach to pricing. • Involve departments in transition planning and monitoring process. • Increase teamwork across the organization. • Develop and standardize help desk structures and processes. • Implement the Leadership and Management Plan, in particular the capacity to deliver significantly enhanced customer service.
Measures	**Targets**	
to be developed		

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Enhance Customer Service		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**
2. Provide reliable, cost-effective technical and application architectures.	a. Increase Central IT capacity to support new enterprise application development. b. Develop the role of release management and transition from development to operations. c. Centralize and standardize processes related to LAN, Desktop Support, networks, servers, and other elements of the enterprise infrastructure.	Clarify and rationalize the cost structure for IT to support the ability of Departments to access application development and other potential centralized services.
Measures		**Targets**
to be developed		

Enhance Customer Service		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**
3. Facilitate information-sharing – internally and externally.	a. Develop processes to gather and use information from internal and external stakeholders to guide decision-making and build shared accountability. b. Support the sharing of technical and best practice information across departments by staff with similar functions. c. Cultivate relationships between central IT and customer departments.	Implement the Leadership and Management Plan, in particular the capacity to: - partner effectively with Executive Branch Departments including identifying opportunities for cross functional or cross department initiatives - communicate effectively with internal and external stakeholders - develop trainings and convene information-sharing forums available to IT staff across the Executive Branch.
Measures		**Targets**
to be developed		

SLR

Reduce Risk		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**

4. Support a culture of effective governance, clear accountability and communication.	a. Improve organizational structure to better support the desired results.
	
	b. Build Leadership and Management capacity.
	
	c. Streamline and standardize governance and communication processes.
		• Clarify and reorganize the structure of IT to meet the principles and criteria.
		
		• Implement the Leadership and Management Plan, in particular the capacity to:
		
		  - partner with Executive Branch Departments
		
		  - communicate effectively with internal and external stakeholders
		
		  - lead and manage for organizational effectiveness.
		
		• Enhance partnership related to the PRB process.
		
		• Develop processes and practices that assure that information about vision, direction, and emerging developments in IT are shared across the Executive Branch, including the reorganization.

Measures		**Targets**
to be developed		

Reduce Risk		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**
5. Ensure IT security and privacy	a. Enhance role of security leadership. b. Centralize and standardize security policy, procedures, and practices.	• Create procedures and practices for assuring compliance with security and privacy systems and policies. • Increase capacity to audit security across the Executive Branch.
Measures		**Targets**
to be developed		

SLR

Use Resources Wisely		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**

6. Create countywide efficiencies for business functions and infrastructure that are common across the organization.	a. Leverage economies of scale through centralization and standardization.
	
	b. Reduce duplication (not redundancy).
	
	c. Reduce variation in delivery of similar functions.
		• Implement the guidelines for centralization and standardization of IT functions (See Table 4).
		
		• Standardize the structure of Departments.
		
		• Implement the Leadership and Management Plan, in particular the capacity to:
		
		  - lead and manage for organizational effectiveness
		
		  - learn effectively through involvement and engagement of internal and external stakeholders.

Measures		**Targets**
to be developed		

SLR

Use Resources Wisely		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**

7. Recruit, deploy and retain an appropriately skilled workforce.	a. Improve the workplace culture of OIRM.
	
	b. Develop career paths for IT professionals.
	
	c. Develop trainings and convene information-sharing forums available to IT staff across the Executive Branch.
	
	d. Develop a centralized role for recruiting and hiring IT professionals.
	
	e. Develop a sense by staff of belonging to a single IT organization.
		• Implement the Leadership and Management Plan, in particular the capacity to:
		
		  - move past OIRM/ITS merger history
		
		  - learn effectively through involvement and engagement of staff, such as increasing staff input to problem solving, defining processes, and technical changes
		
		  - effectively manage and mentor IT staff.
		
		• Expand the role of HR SDM and HR staff in providing services to Departmental IT and OIRM, in particular related to recruitment, hiring, and training.
		
		• Address anomalies in classification and compensation related to IT staff.
		
		• Develop trainings and convene information-sharing forums available to IT staff across the Executive Branch.

Measures		**Targets**
to be developed		

SLR

Lead Technical Initiatives and Changes		
Desired Result	**Core Strategies**	**Initiatives (preliminary)**
8. Serve as a leader in IT regional initiatives	a. Enhance capacity to lead change. b. Enhance capacity to manage technical initiatives. c. Enhance capacity for strategy development, planning, evaluation, and analysis.	• Implement the Leadership and Management Plan, in particular the capacity to: - lead and manage in an environment of continuous change and transition - lead and manage for organizational effectiveness - partner with Executive Branch Departments - communicate effectively with internal and external stakeholders. • Increase the role of planning and evaluation in Central IT.

Measures	Targets
to be developed	

SLR

Appendix A:

   **Radio Communication Services
Customer Survey**

DECEMBER 2006 CUSTOMER SURVEY —

SUMMARY OF RATINGS

FCS GROUP

Percentage of Surveys returned	26.92%
Percentage of responses reporting use of:	
800 MHz air time services	75.00%
Vehicle installation services	39.29%
Template design/radio programming	60.71%
Bench repair work	42.86%
Preventative maintenance	17.86%
Technical services (consulting, design, etc…)	14.29%
Other services	3.57%
Customer reported quantity of radios	2238
Average length of time in years using RCS services	8.18
Average number of service visits to RCS in 2006	13.67

	No	Yes	No Response	Total
Internal county agency?	50.00%	42.86%	7.14%	100.00%
Are you looking for another provider?	75.00%	10.71%	14.29%	100.00%
Would you like to be called back in response to the survey?	57.14%	25.00%	17.86%	100.00%

Customer Service	Very Poor	Poor	Fair	Good	Very Good	No Response to Question	Good and Very Good	Total	Question Response Rate
Availability of RCS staff to assist you	0.00%	0.00%	25.00%	35.71%	28.57%	10.71%	64.28%	100.00%	89.29%
RCS staff friendliness	0.00%	0.00%	7.14%	39.29%	42.86%	10.71%	82.15%	100.00%	89.29%
RCS response to email/voice mail messages	0.00%	3.57%	21.43%	39.29%	14.29%	21.43%	53.58%	100.00%	78.57%
Convenience and availability of office hours	0.00%	3.57%	14.29%	60.71%	7.14%	14.29%	67.85%	100.00%	85.71%
Courtesy of front desk staff	0.00%	0.00%	14.29%	35.71%	28.57%	21.43%	64.28%	100.00%	78.57%
Length of wait for walk-in services	0.00%	0.00%	21.43%	42.86%	10.71%	25.00%	53.57%	100.00%	75.00%
Teamwork shown by the staff	0.00%	3.57%	7.14%	60.71%	14.29%	14.29%	75.00%	100.00%	85.71%

❖ FCS GROUP

Professional Services	Very Poor	Poor	Fair	Good	Very Good	No Response to Question	Good and Very Good	Total	Question Response Rate
Professional knowledge of staff	0.00%	0.00%	14.29%	39.29%	35.71%	10.71%	75.00%	100.00%	89.29%
Technical solution provided by RCS	0.00%	0.00%	10.71%	50.00%	25.00%	14.29%	75.00%	100.00%	85.71%
Value of services	0.00%	7.14%	17.86%	42.86%	21.43%	10.71%	64.29%	100.00%	89.29%
Timeliness of services	0.00%	7.14%	28.57%	42.86%	7.14%	14.29%	50.00%	100.00%	85.71%
Your service needs were met	0.00%	7.14%	14.29%	28.57%	35.71%	14.29%	64.28%	100.00%	85.71%
Your questions were answered	0.00%	0.00%	21.43%	28.57%	39.29%	10.71%	67.86%	100.00%	89.29%
Work was performed as quoted	0.00%	3.57%	17.86%	35.71%	25.00%	17.86%	60.71%	100.00%	82.14%

Installation Work	Very Poor	Poor	Fair	Good	Very Good	No Response to Question	Good and Very Good	Total	Question Response Rate
Met expectations	0.00%	7.14%	14.29%	25.00%	21.43%	32.14%	46.43%	100.00%	67.86%
Functionality of equipment upon delivery	0.00%	7.14%	10.71%	17.86%	32.14%	32.14%	50.00%	100.00%	67.86%
Completed when promised	3.57%	3.57%	7.14%	32.14%	21.43%	32.14%	53.57%	100.00%	67.86%
Instructions for use of installed equipment provided were	0.00%	0.00%	10.71%	32.14%	17.86%	39.29%	50.00%	100.00%	60.71%
Vehicle cleanliness upon delivery	0.00%	0.00%	7.14%	25.00%	14.29%	53.57%	39.29%	100.00%	46.43%

800 MHz System	Very Poor	Poor	Fair	Good	Very Good	No Response to Question	Good and Very Good	Total	Question Response Rate
800 MHz radio coverage	3.57%	3.57%	7.14%	42.86%	32.14%	10.71%	75.00%	100.00%	89.29%
Audio quality experience	0.00%	3.57%	10.71%	39.29%	32.14%	14.29%	71.43%	100.00%	85.71%
System availability	3.57%	0.00%	14.29%	28.57%	32.14%	21.43%	60.71%	100.00%	78.57%

FCS GROUP

Quality of Work	Very Poor	Poor	Fair	Good	Very Good	No Response to Question	Good and Very Good	Total	Question Response Rate
Equipment mounting	0.00%	3.57%	3.57%	35.71%	10.71%	46.43%	46.42%	100.00%	53.57%
Operating manual provided (new equipment only)	3.57%	0.00%	10.71%	21.43%	3.57%	60.71%	25.00%	100.00%	39.29%
Location of installed equipment	0.00%	0.00%	3.57%	32.14%	7.14%	57.14%	39.28%	100.00%	42.86%

Billing Invoices	Very Poor	Poor	Fair	Good	Very Good	No Response to Question	Good and Very Good	Total	Question Response Rate
Readability	0.00%	10.71%	7.14%	42.86%	14.29%	25.00%	57.15%	100.00%	75.00%
Understandability	3.57%	21.43%	3.57%	32.14%	14.29%	25.00%	46.43%	100.00%	75.00%
Accuracy	0.00%	0.00%	10.71%	50.00%	14.29%	25.00%	64.29%	100.00%	75.00%
Regularity	0.00%	0.00%	10.71%	42.86%	21.43%	25.00%	64.29%	100.00%	75.00%
Matches quotes	0.00%	0.00%	7.14%	35.71%	17.86%	39.29%	53.57%	100.00%	60.71%

❖ FCS GROUP

DECEMBER 2006 CUSTOMER SURVEY —

WRITTEN COMMENTS AND SURVEY INSTRUMENT

FCS GROUP

King County
Radio Communication Services (RCS) Survey

We thank you in advance for completing this questionnaire. When you have finished, please mail it in the enclosed envelope.

Background Questions (fill in the square or write in answer as appropriate)

Type of services received from RCS (Please check all that apply):

☐ 800 MHz Air Time
☐ Vehicle Installation Services
☐ Template design/Radio Programming
☐ Bench Repair Work
☐ Preventative Maintenance
☐ Technical Services (Consulting, Design, etc…)
☐ Other :_____

If you have used air time services, approximately how many Radios do you have on the 800 MHz system? _____

How long have you used RCS for your Radio Communication needs? _____

How many visits has your organization made to RCS and used services during 2006? _____

Are you an internal County organization? ☐Yes ☐No

Are you looking for another source to meet your radio communication needs? ☐Yes ☐No

Would you like to be called back in response to this survey? ☐ Yes ☐ No
Contact Information: Name:_____ Phone Number _____

Please rate the following by filling in the square that best describes your experience with RCS. If a question does not apply to you, please skip to the next question. Space is provided for you to comment on good or bad things that may have happened to you or your agency.

		very poor	poor	fair	good	very good
A.	**Customer Service**					
1.	Availability of RCS staff to assist you	☐	☐	☐	☐	☐
2.	RCS staff friendliness	☐	☐	☐	☐	☐
3.	RCS response to email/voice mail messages	☐	☐	☐	☐	☐
4.	Convenience and availability of office hours	☐	☐	☐	☐	☐
5.	Courtesy of the front desk staff	☐	☐	☐	☐	☐
6.	Length of wait for walk-in services	☐	☐	☐	☐	☐
7.	Teamwork shown by the staff	☐	☐	☐	☐	☐

Comments (describe good or bad experience):

_____

_____

_____

		very poor	poor	fair	good	very good
B.	**Professional Services**					
1.	Professional knowledge of staff	☐	☐	☐	☐	☐
2.	Technical solution provided by RCS	☐	☐	☐	☐	☐
3.	Value of services	☐	☐	☐	☐	☐
4.	Timeliness of services	☐	☐	☐	☐	☐
5.	Your service needs were met	☐	☐	☐	☐	☐
6.	Your questions were answered	☐	☐	☐	☐	☐
7.	Work was performed as quoted	☐	☐	☐	☐	☐

Comments (describe good or bad experience):

_____

_____

_____

		very poor	poor	fair	good	very good
C.	**Installation Work**					
1.	Met expectations	☐	☐	☐	☐	☐
2.	Functionality of equipment upon delivery	☐	☐	☐	☐	☐
3.	Completed when promised	☐	☐	☐	☐	☐
4.	Instructions for use of installed equipment provide were	☐	☐	☐	☐	☐
5.	Vehicle Cleanliness upon delivery	☐	☐	☐	☐	☐

Comments (describe good or bad experience):

_____

_____

_____

		very poor	poor	fair	good	very good
D.	**800 Mhz System**					
1.	800 MHz Radio Coverage	☐	☐	☐	☐	☐
2.	Audio quality experience	☐	☐	☐	☐	☐
3.	System Availability	☐	☐	☐	☐	☐

Comments (describe good or bad experience):

_____

	very poor	poor	fair	good	very good
E. **Quality of Work**					
1. Equipment Mounting	☐	☐	☐	☐	☐
2. Operating Manual provided (new equipment only)	☐	☐	☐	☐	☐
3. Location of installed equipment	☐	☐	☐	☐	☐

Comments (describe good or bad experience):

_____

_____

_____

	very poor	poor	fair	good	very good
F. **Billing Invoices**					
1. Readability	☐	☐	☐	☐	☐
2. Understandability	☐	☐	☐	☐	☐
3. Accuracy	☐	☐	☐	☐	☐
4. Regularity	☐	☐	☐	☐	☐
5. Matches quotes	☐	☐	☐	☐	☐

Comments (describe good or bad experience):

_____

_____

_____

General Comments:

_____

_____

Unedited comments from the raw surveys:

Customer #E2
A. Installer - (Bill) very friendly & Helpful
B. Templates need frequent rework - still are not right. Our PA function went away after last re-flash.
C. Slow - needs some rework.
D. Spats with little or no coverage. Inside building don't work often.
F. Hard to match specific work to bill.
General comments - Not impressed with the newer managements effect on moral and work.
Manager doesn't seem to have technical ability for the position.

Customer #E3
C. Not applicable
D. We have some known areas of our district which have marginal service.
E. Not applicable

Customer #E11
A. Sean Douglas really helps us; good worker
E. Our shops mount the radio systems
General Comments: Good facility with knowledgeable staff – thanks

Customer #E23
A. Sometimes hard to get anyone on the phone.
General Comments: Since the city of Kent Dept's have had such confusion and billing confusion, city of Kent Fleet Dept has opened up a separate account and will send equipment to you with our P.O. #'s. We (RCS) and (Fleet) need to make sure the correct Dept is billed for the correct repairs thus speeding up payment.

Customer #E28
F. Billing should be more detailed & descriptive. Announce maintenance visits. Assign a point person for customers.

Customer #E34
D. Usually quite clear - some days has static.

Customer #E37
General Comments: We're pleased with the radios.

Customer #E42
General Comments: overall very good service

Customer #E47
C. Install took 5 days longer and only after I complained. Install wasn't even started by time promised - very disappointed, install showed all cables, nothing hidden :-(
D. Need help in Valley Medical Center and Large Bldgs. Totally useless inside them.
E. See #C, my wires/cables should have been hidden.
F. Should be ready upon delivery of items.
General Comments: I decided to try your shop versus Day Wireless. I have not been too impressed with speed and Quality of Work.

Customer #E50
F. Prices are too high - may look to alternate sources - not sure
General comments: good service - good partner.

Customer #E54
F. We need more description of the work done. Also include car# or Equipment SN so we know what Radio the invoice is for.
General Comments: Invoices can not be used to reconcile with the work & equipment. The customer service is excellent! For Motorcycle installs we have had some problems with the billing which will be addressed specifically upon our next motorcycle install. Vehicle numbers added, one invoice per vehicle radio purchase, then a separate invoice for install. Thank you for your time!!

Customer #E56
General Comments: Service and assistance was excellent. Radio quality is excellent.

Customer #E62
D. Apparently there was a billing issue about the radio we have in reserve and were not in service. You arbitrarily shut off some of our radios. This was the wrong thing to do and created a firefighter safety issue. Those portables were on our equipment and being used. This happened more than once and is inexcusable. You were not very responsive when contacted.

Customer #I6
General Comments: RCS staff provide excellent & timely service to KCAC vehicle and hand-held radios! Their professional & customer service skills are first rate!
KCAC, with technical assistance from RCS, would like to explore mobile wireless data communication (i.e. MDT).

Customer #I16
B. Radio was lost by shop and not replaced #729041

Customer #I18
B. Services are stretched to thin to adequately meet our demands.
D. System Continues to jeopardize officer safety of KCSO personnel due to poor area coverage and overall system quality.
F. billing should include vehicle number, portable number. Authorizing individual for purchases should be included on bill. Better explanation of work performed should also be included on billing.
General Comments: No written agreement on file concerning replacement of radios.

Customer #I19
C. Haven't used installations for years.
D. Hooked up to SPD
E. N/A

Customer #I35
General Comments: - Staff is always friendly and helpful - I wish your hours were extended.

Customer #I44
A. Sean Douglas always very helpful.
F. Need better billing system. Need ability to track # of radios by department, division, and section.
General Comments: Need better method for ordering batteries and accessories, maybe a website ordering/catalog.

Customer #I49
General Comments: - prices appear to be high. We have had issues related to programming. It would be nice to use the same approach that fleet uses when they order a new vehicle.

FCS GROUP

Appendix B:
  List of Source Documents

LIST OF SOURCE DOCUMENTS

Business Case for IT Reorganization, King County Office of Information Resource Management, June 2006.

Current State of IT Operations (for each Executive Branch Department), March 2007.

Executive Branch IT Transition, Moss Adams, June 2006.

Executive Recommendation on IT Reorganization, March 1, 2006.

IT Classifications for King County, August 2007.

Information Technology Infrastructure Library, itil.technorealism.org/ (one of a number of sites related to ITIL)

Information Technology Service Delivery Plan 2007, for each Executive Branch Department

IT Organization Changes, Presentation by Ron Sims to the Strategic Advisory Council, March 1, 2006.

IT Organization Recommendation Final Report, Pacific Technologies, Inc., December 20, 2004.

King County Administrative Code, 2.16.0755-2.16.0758

Microsoft Operations Framework (MOF), www.microsoft.com/technet/solutionaccelerators/cits/mo/mof/default.mspx

Microsoft Solutions Framework (MSF), www.microsoft.com/technet/solutionaccelerators/msf/default.mspx

Radio Communications Services 2007-2011 Business Plan, FCS Group, May 25, 2007.